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PFP Process Overview

The PFP process includes four main phases:

- Objective Setting
- Mid-Year Accomplishments/Review
- End-of-Year Accomplishments/Evaluation
- Rating Assignment

*In addition to these phases, the program also includes other processes that employees may
encounter if they are new to the program, if change PFP positions, or if they are involved with
any of the recourse processes associated with PFP:*

- Manage Profile, Beginning of Evaluation Period
- Manage Profile, End-of-Position
- Rating Recourse

Objective Setting (Process Overview Diagram) (Text-Only Version)

At the beginning of the evaluation period, an evaluator holds an interactive discussion with an
employee about the employee's goals for the year. This meeting ensures that the employee is
aware of the unit and corporate performance indicators—as well as individual performance
objectives (core requirements)—that he or she will be evaluated against for the upcoming year.

- Unit and corporate performance indicators are established and measured in the National
  Performance Assessment (NPA) system. These indicators are aligned to improve customer
  service, generate revenue, manage costs and enhance a performance-based culture.
- Core requirements provide a mechanism for employees to identify their personal
  contributions to unit and corporate success. Employees must define specific target outcomes
  for each core requirement and document their performance in PES.

Mid-Year Accomplishments/Review (Process Overview Diagram) (Text-Only Version)

During this phase, an employee uses PES to record his/her accomplishments through the mid-
year point of the evaluation period. His/her evaluator reviews these accomplishments and
schedules a one-on-one meeting with the employee to review progress toward targets. The
evaluators records the date of this discussion, along with comments about the employee's
progress, in PES.

End-of-Year Accomplishments/Evaluation (Process Overview Diagram) (Text-Only
Version)

During this phase, an employee uses PES to record his/her accomplishments through the end
of the evaluation period. His/her evaluator reviews these accomplishments and schedules a
one-on-one meeting with the employee to review overall progress toward targets. The
evaluator records the date of this discussion, along with comments about the employee's
progress, in PES.

Rating Assignment (Process Overview Diagram) (Text-Only Version)

An evaluators assigns core requirements ratings to an employee during this phase. (For EAS
employees, these ratings are then combined with NPA scores in order to generate overall
performance ratings.) An employee's overall performance rating is then used to determine his

or her compensation for the following year.

Manage Profile, Beginning of Evaluation Period (Process Overview Diagram) (Text-Only Version)

Employees who are new to the program or who are accessing PES for the first time will be guided through the process of setting up their profile in the system.
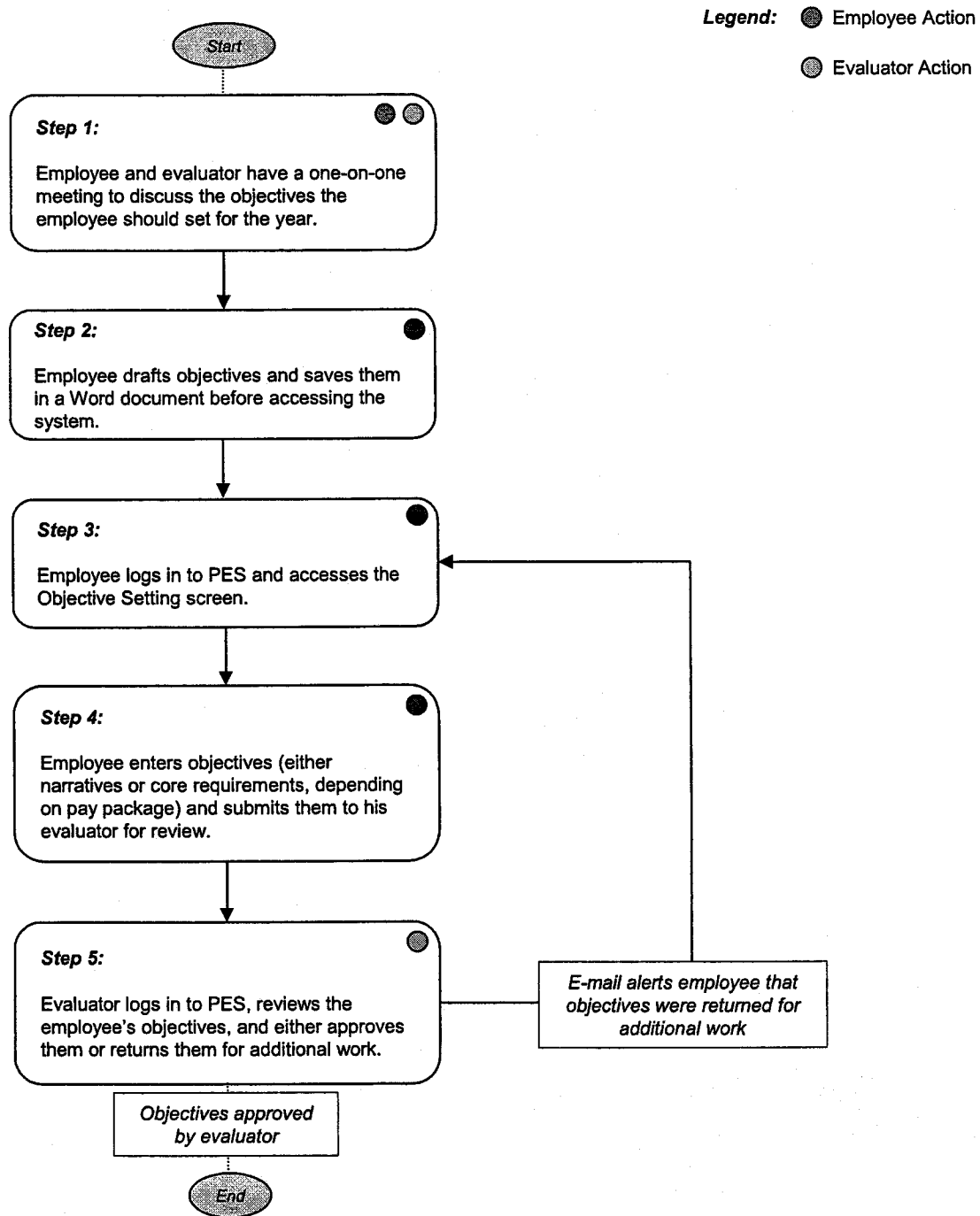
Manage Profile, End-of-Position (Process Overview Diagram) (Text-Only Version)

The Manage Profile module includes features that support employees who have changed PFP positions or whose evaluators have changed since the beginning of the evaluation period. These features enable employees to change their objectives (when necessary) and enable evaluators to react and provide interim narrative performance reviews or interim numeric ratings, as appropriate.
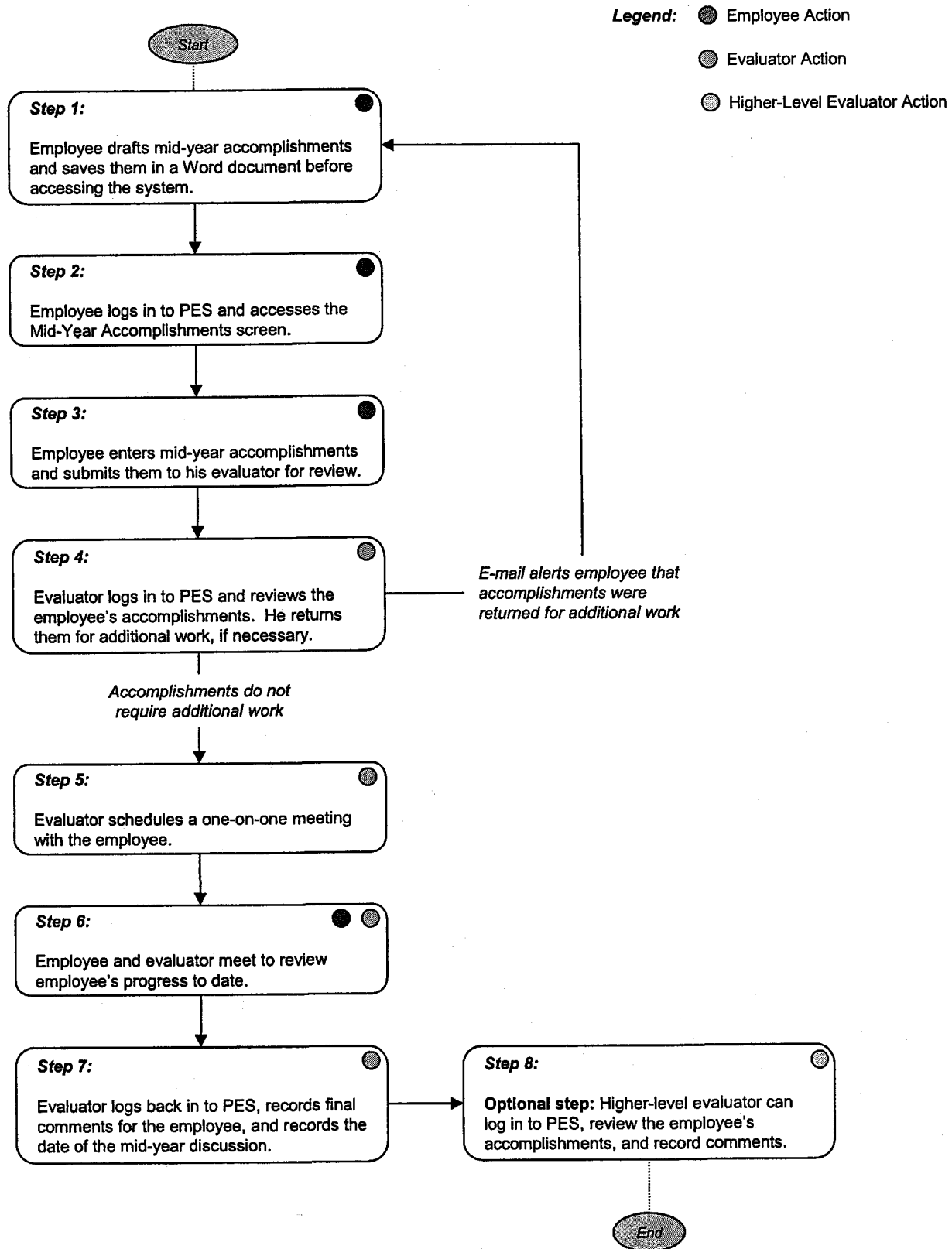
Rating Recourse (Process Overview Diagram) (Text-Only Version)

Once ratings have been published, employees will have the opportunity to seek recourse if they feel that the ratings assigned do not clearly reflect their performance. This recourse process does not occur within PES, rather the employee must submit his or her concerns on paper to their evaluator. The evaluator and any required higher level reviews must review the employee's concerns and make a decision.
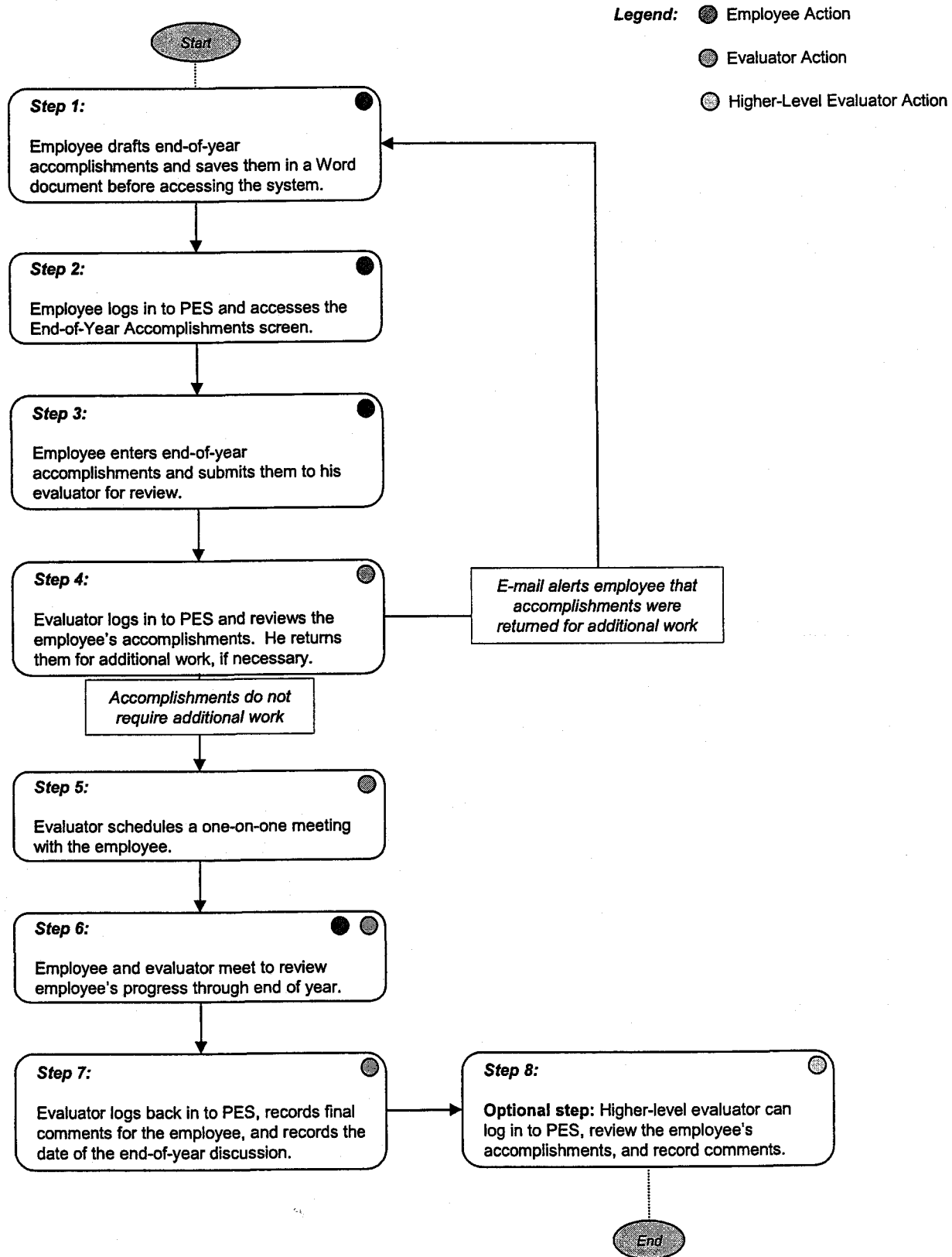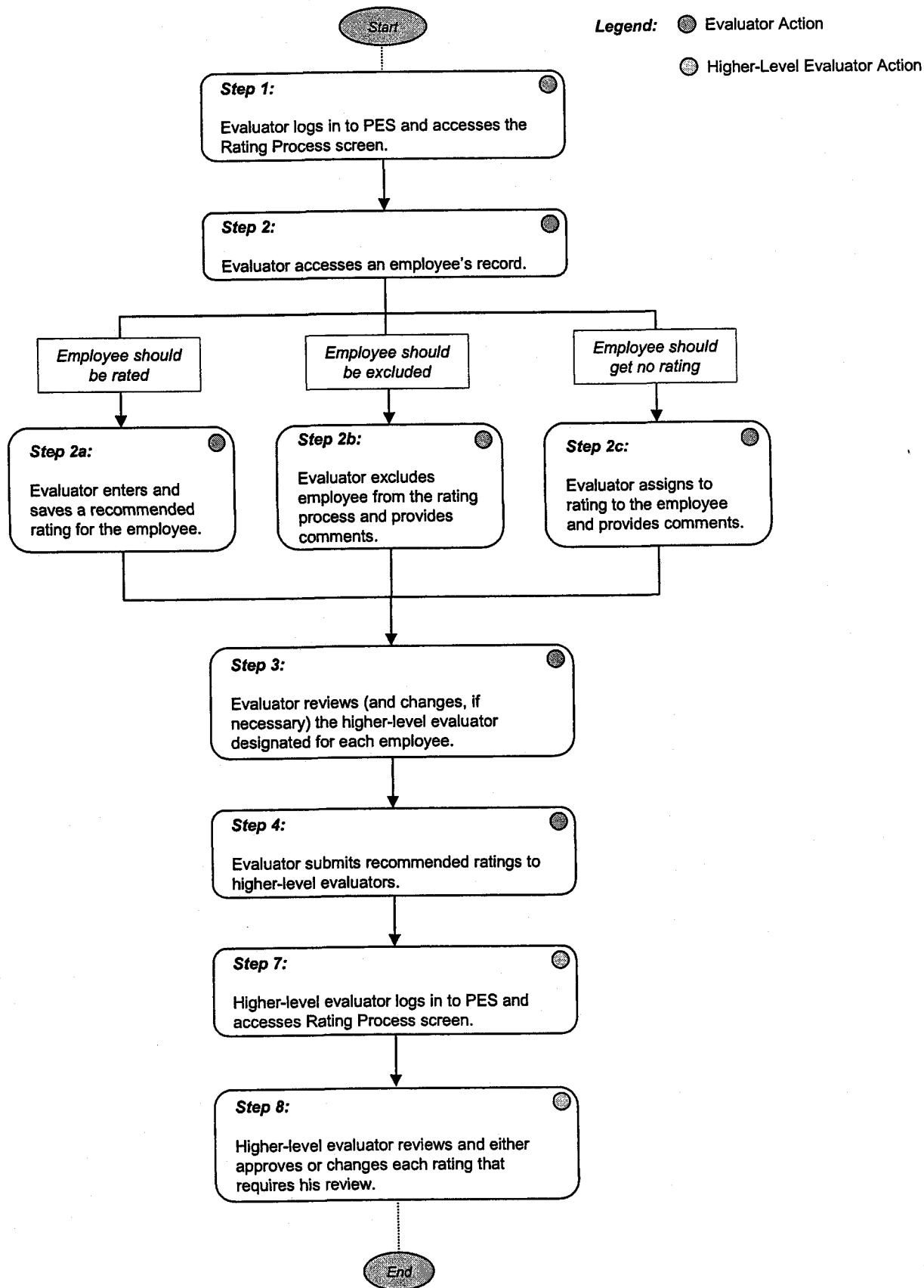
◼ OBJECTIVE SETTING PROCESS OVERVIEW

Legend: ◉ Employee Action

◉ Evaluator Action

(Start)

Step 1: ◉◉

Employee and evaluator have a one-on-one meeting to discuss the objectives the employee should set for the year.

Step 2: ●

Employee drafts objectives and saves them in a Word document before accessing the system.

Step 3: ●

Employee logs in to PES and accesses the Objective Setting screen.

Step 4: ●

Employee enters objectives (either narratives or core requirements, depending on pay package) and submits them to his evaluator for review.

Step 5: ◉

Evaluator logs in to PES, reviews the employee's objectives, and either approves them or returns them for additional work.

E-mail alerts employee that objectives were returned for additional work

Objectives approved by evaluator

(End)

■ MID-YEAR ACCOMPLISHMENTS/REVIEW PROCESS OVERVIEW

Legend:
- ● Employee Action
- ◉ Evaluator Action
- ◎ Higher-Level Evaluator Action

Start

Step 1: ●

Employee drafts mid-year accomplishments and saves them in a Word document before accessing the system.

Step 2: ●

Employee logs in to PES and accesses the Mid-Year Accomplishments screen.

Step 3: ●

Employee enters mid-year accomplishments and submits them to his evaluator for review.

Step 4: ◉

Evaluator logs in to PES and reviews the employee's accomplishments. He returns them for additional work, if necessary.

E-mail alerts employee that accomplishments were returned for additional work

Accomplishments do not require additional work

Step 5: ◉

Evaluator schedules a one-on-one meeting with the employee.

Step 6: ● ◉

Employee and evaluator meet to review employee's progress to date.

Step 7: ◉

Evaluator logs back in to PES, records final comments for the employee, and records the date of the mid-year discussion.

Step 8: ◎

Optional step: Higher-level evaluator can log in to PES, review the employee's accomplishments, and record comments.

End

■ END-OF-YEAR ACCOMPLISHMENTS/EVALUATION PROCESS OVERVIEW

Start

Legend: ● Employee Action
    ● Evaluator Action
    ● Higher-Level Evaluator Action

Step 1:

Employee drafts end-of-year accomplishments and saves them in a Word document before accessing the system.

Step 2:

Employee logs in to PES and accesses the End-of-Year Accomplishments screen.

Step 3:

Employee enters end-of-year accomplishments and submits them to his evaluator for review.

Step 4:

Evaluator logs in to PES and reviews the employee's accomplishments. He returns them for additional work, if necessary.

E-mail alerts employee that accomplishments were returned for additional work

Accomplishments do not require additional work

Step 5:

Evaluator schedules a one-on-one meeting with the employee.

Step 6:

Employee and evaluator meet to review employee's progress through end of year.

Step 7:

Evaluator logs back in to PES, records final comments for the employee, and records the date of the end-of-year discussion.

Step 8:

Optional step: Higher-level evaluator can log in to PES, review the employee's accomplishments, and record comments.

End

■ RATING ASSIGNMENT PROCESS OVERVIEW

Start

Legend: ◉ Evaluator Action

◉ Higher-Level Evaluator Action

Step 1:

Evaluator logs in to PES and accesses the Rating Process screen.

Step 2:

Evaluator accesses an employee's record.

Employee should be rated

Employee should be excluded

Employee should get no rating

Step 2a:

Evaluator enters and saves a recommended rating for the employee.

Step 2b:

Evaluator excludes employee from the rating process and provides comments.

Step 2c:

Evaluator assigns to rating to the employee and provides comments.

Step 3:

Evaluator reviews (and changes, if necessary) the higher-level evaluator designated for each employee.

Step 4:

Evaluator submits recommended ratings to higher-level evaluators.

Step 7:

Higher-level evaluator logs in to PES and accesses Rating Process screen.

Step 8:

Higher-level evaluator reviews and either approves or changes each rating that requires his review.

End

■ MANAGE PROFILE PROCESS OVERVIEW   (BEGINNING OF EVALUATION PERIOD)

Start

Legend: ● Employee Action

○ Evaluator Action

Step 1:

Employee logs in to PES and is automatically directed to the Manage Profile screen to review information.

Step 2:

Employee reviews permanent position information and the evaluator associated with that position.

Change required → Employee updates and saves information.

No change required

Step 3:

Employee reviews detail assignment information and the evaluator associated with that position.

Change required → Employee updates and saves information.

No change required

Step 4:

Employee saves entire profile.

Profile information not changed. → **End**

Profile information changed.

Step 5:

Evaluator receives e-mail notification of change to employee's profile information and logs in to PES.

Step 6:

Evaluator reviews employee profile and either indicates approval or returns information to employee for additional changes.

Request returned for additional changes

Step 7:

Employee receives e-mail notification of the evaluator's action.

Request approved by evaluator

End

■ MANAGE PROFILE PROCESS OVERVIEW   (END OF POSITION PROCESS)

Legend: 🔘 Employee Action

🔘 Evaluator Action

System-Prompted Start

User-Initiated Start

Step 1:

Employee logs in to PES and is automatically directed to the Manage Profile screen to update position information.

Step 1:

Employee logs in to PES and manually accesses the Manage Profile screen to update position information.

No change required

Step 2:

Employee reviews and edits permanent position information and the evaluator associated with that position.

Change required

Employee updates and saves information.

No change required

Step 3:

Employee reviews detail assignment information and the evaluator associated with that position.

Change required

Employee updates and saves information.

Step 4:

Employee saves entire profile.

Step 5:

Evaluator receives e-mail notification of change to employee's profile information and logs in to PES.

Step 6:

Evaluator reviews employee profile and either indicates approval or returns information to employee for additional changes.

Request returned for additional changes

Step 7:

Employee receives e-mail notification of the evaluator's action.

Request approved by evaluator

End

■ RECOURSE PROCESS FOR RATINGS

Step 1:

Employee disagrees with the Core Requirement Rating, documents the concerns and rationale and submits to evaluator.

Step 2:

The evaluator reviews the employee's documentation and rationale.

Step 3:

After the evaluator reviews the documentation, the evaluator initiates a discussion with the employee.

Agreement

The evaluator submits documentation and rationale to next higher level evaluator for approval.

Signature is required by the lead PCES cluster executive or AVP if applicable.

Form 50 Action

Disapprove

A written response will be provided to the employee.

End

No Agreement

Step 4:

If no agreement can be reached, the next higher level reviews and makes the final determination.

Agreement

Signature is required by the lead PCES cluster executive or AVP if applicable.

Form 50 Action

Disapprove

A written response will be provided to the employee.

End

Legend
- Employee Action
- Evaluator Action
- Next Higher Level Action
- PCES Cluster Executive Action

March 2005

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PFP Glossary of Terms

Jump to entries beginning with:
A B C D E F G H I J K L M N O P Q R S T U V W X Y Z

Composite summary: This numeric score found on the "Report Card
Detail" in NPA. Calculated as follows: (corporate summary score achieved
x the corporate weight) + (unit summary score achieved x unit weight) =
the NPA composite summary. The composite summary is imported into
PES and used to calculate an employee's overall performance rating.

Contributions toward targets: The progress an employee makes
toward the goals he or she sets during the objective-setting process.
Recorded in PES at the mid- and end-of-year points. Should include
examples and metrics that support how the employee has progressed
toward achieving his or her goals.

Core requirements: A pre-determined number of individual objectives
that are defined jointly by evaluator and employee during the objective-
setting process. Described in terms of distinct performance indicators,
supported by systems and/or data that will track actual performance
achieved, and provide clear target outcomes. Tracked via PES.

Corporate indicator: An objective measure applied throughout the
organization to gauge corporate performance. Determined by area vice
presidents and officers during the "Establish and Deploy" process and
given different weightings based on corporate priorities. Tracked via NPA.

Detail assignment: A temporary assignment to a position that is
associated with a different finance number than that finance number
associated with the employee's position of record.

Employee identification number (EID): The unique, 8-digit number
printed on an employee's earnings statement.

End-of-position process: Process in PES (associated with change
management) in which employees who move into new PFP positions
record accomplishments for their old positions. Process also enables
evaluators to provide interim narrative performance reviews and interim
numeric ratings, as appropriate.

Evaluator: The manager responsible for providing an employee with
guidance and feedback with regard to the development of objectives,
mid-year performance reviews, and end-of-year performance reviews.

Interim narrative performance review: A non-numeric review
assigned to an employee who holds a PFP position for 90 to 179 days
during the evaluation period. The review can be considered as part of the
employee's end-of-year evaluation and overall performance rating.

Interim numeric rating: A rating (from 0 to 15) assigned to an
employee who holds a PFP position for 180 to 275 days during the
evaluation period. The review is used as part of the calculation used to
determine the employee's overall performance rating at the end of the

year.

Line of sight: The extent to which an employee can affect performance improvement in certain levels of the organization depends on the position that the employee holds. Corporate and unit indicator weighting varies by the employee's line of sight in the organization.

Matrix rank: A 15-point matrix containing pre-determined performance targets that are assigned numerical values, 1-15. Correlates actual performance to a value that is used in calculating NPA scores. Each corporate and unit indicator has specified performance thresholds in its own matrix ranking, which is published in NPA.

National Performance Assessment (NPA): A national report card system that measures a unit's actual corporate and unit performance against standardized, predefined, weighted indicators.

Objective: Clear action statement describing planned performance. Described in terms of performance indicators, supported by systems and/or data that will track actual performance achieved, and provide definite measurable target outcomes.

Overall performance rating: The numerical rating derived from adding the weighted composite summary rating to the weighted core requirements rating. The overall performance rating is the basis for salary increase actions.

Pay-for-Performance ratings: The following definitions are provided to assist evaluators in evaluating core requirements. They are intended only as a guide. Evaluators should use these definitions in conjunction with the individual performance objectives set at the beginning of the fiscal year when evaluating their employees.

- **Non-contributor** – Performance relative to the basic expectations of the position requirements was unsatisfactory, including poor quality results and failure to meet commitments. Individual lacks vision or sense of core purpose of the organization.
- **Contributor** – Overall contribution to the business, both functionally and organizationally, met the expectations of the position requirements. Individual possesses basic sense of core purpose of the organization, sets goals, and acts accordingly.
- **High contributor** – Overall contribution to the business—both functionally and organizationally—met and sometimes exceeded the expectations of the position requirements. Individual possesses overall sense of the purpose of the organization and evaluates external factors when appropriate to set goals and determine action plans.
- **Exceptional contributor** – Overall contribution to the business—both functionally and organizationally—exceeded expectations of the position requirements. Individual possesses keen sense of the purpose of the organization and develops creative and effective approaches to grow the business and increase customer satisfaction.

Performance Evaluation System (PES): A national system used to record individual core requirements and progress toward achieving those goals. Also used by evaluators to record comments on employee progress and core requirements ratings for employees.

Performance indicator: Established measurement at the corporate, unit, or core requirements level. Targets are defined for each level and are communicated to all employees at the beginning of the year. Tracked via NPA.

Position of record: An employee's permanent position, as defined by his

or her Form 50.

Postal PIN: The PIN used for PostalEase.

Target: Pre-established score marking a threshold of performance for an performance indicator. Target reports for all indicators are published in NPA.

Target outcome: A planned and defined goal used to measure core requirements performance. Identified during the objective-setting process and then tracked via accomplishments that employees enter into PES.

Trackable system: System used to demonstrate achieved performance against a target outcome. Recorded in PES.

Threshold: The lowest score that must be achieved in order reach a specific matrix rank.

Unit indicator: An objective measure applied throughout the organization to gauge a unit's performance. Support corporate indicator performance. Determined by senior leadership with input from the function that is sponsoring the indicator. Defined by the unit in which the employee works and listed on the NPA website under WebEIS.

Performance Evaluation System

Guidelines Covering Pay-for-Performance for EAS Employees

Includes:
- *ACS Attorneys*
- *Area EAS*
- *EAS Postmasters (Including A-E)*
- *Field EAS*
- *Field EEO Operations*
- *HQ/HQ-Related EAS*
- *PPO Managers/Supervisors*
- *Sales EAS*

Version 2, October 2005

Table of Contents

Overview of this Guide

This document provides an overview of the USPS Pay-for-Performance (PFP) Program for EAS employees. It describes the purpose of the program and the major phases of the process. This guide also provides specific information regarding the performance indicators that are used to measure your performance and the performance of other employees who are in the same pay package.

Overview of the PFP Program

The PFP program focuses on three key elements:
- improving accountability for individual contributions to organizational success
- providing clear expectations and feedback on progress toward target outcomes, and
- rewarding and recognizing exceptional individual performance for achieving challenging objectives.

Employees are evaluated on objective performance indicators and individual performance objectives (core requirements):
- **Objective performance indicators** are established at the corporate and unit levels. They are aligned to improve customer service, generate revenue, manage costs, and enhance a performance-based culture. These indicators are established at the corporate and unit levels and are tracked via the National Performance Assessment System (NPA).
- **Individual performance objectives (core requirements)** are established on the individual level and provide a mechanism for employees to identify their personal contributions to corporate and unit success. Core requirements are established at the beginning of the year during an interactive discussion between an employee and evaluator and are tracked via the Performance Evaluation System (PES).

(See the section of this document that is customized to your pay package for a detailed description of what combination of objective performance indicators and/or individual performance objectives are used to evaluate you and others who are in the same pay package.)

For both **objective performance indicators** and **core requirements**, a performance incentive is associated with achieving each level of performance—contributor, high contributor, and exceptional contributor. (Figure A)

In the past, the USPS performance evaluation program was based only on the finish line; only one goal and one incentive existed. Once an employee met a goal, he or she had no incentive to achieve higher performance. Likewise, an employee far below a goal had no incentive to continue achieving. (Figure B)

The PFP program takes the USPS in a new direction with regard to performance evaluation. PFP allows employees to concentrate on achievements within their control or influence and based on their line-of-sight in the organization. (Figure C)

Figure A
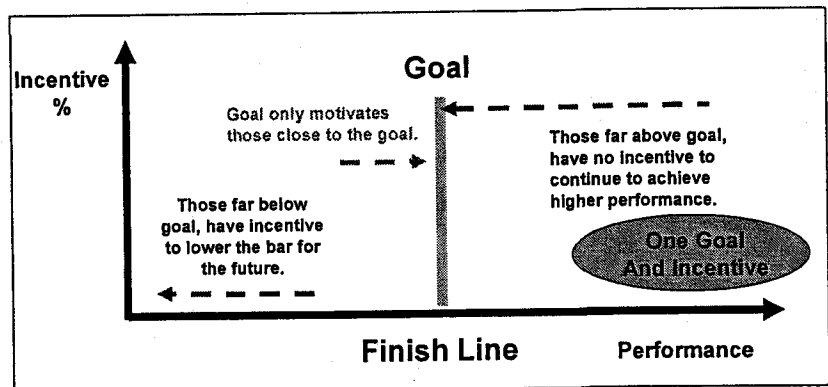
Figure B

Employees know what is expected of them and how their actions impact the organization. The closer an employee is to a target, the more motivated he or she will be to achieve the target. Also, employees who are far above or below a target have incentive to continue improving because their efforts are still recognized. In this way, the PFP program encourages higher performance at every level.

Line-of-Sight Measures

Corporate and Unit Indicators

+

Core Requirements

Performance Achieved = Employee Compensation

Figure C

The Performance Evaluation Process

This section provides an overview of the process, which is comprised of four main phases:
- Objective Setting
- Mid-Year Accomplishments/Review
- End-of-Year Accomplishments/Evaluation, and
- Rating Assignment.

Objective-Setting

Evaluators: Plan your strategy for the fiscal year.
As a leader of a unit, an evaluator needs to plan what he or she wants the unit to accomplish, deliver, and/or improve. Evaluators must:
- determine what they hope to achieve by the end of the year
- describe how the unit will contribute to organizational success
- define strategies to achieve those desired outcomes, and
- direct the team where to focus for the fiscal year.

Evaluators and Employees: Focus on the contributions you can make in your line-of-sight or influence.
The PMG has established a "Delivering Results" star, which outlines the organization's enterprise-wide goals. Evaluators and employees should evaluate how their individual actions can make a positive impact on the following areas:

The PMG's "Delivering Results" Star

(Star diagram with points labeled: Developing People, Managing Costs, Improving Service, Growing Revenue, Pursuing Reform, with center labeled "KEEPING OUR FOCUS")

Managing Costs
- $5B in cost reductions
- Fourth straight year of positive TFP
- Reduced debt by $4B
- Transformed administrative, network, purchasing processes

Improving Service
- Record end-to-end service performance
- Record customer satisfaction
- Unrivaled access to services and information
- My Post Office expansion
- Quick, easy, convenient
- Reply Mail website

Developing People
- Workplace environment improvement
- Record safety performance
- Training and development innovations
- Corporate succession planning
- Performance-based pay systems

Growing Revenue
- Stable rates
- Customer-driven production innovations
- Click-N-Ship
- Online insurance
- Customer Connect
- Carrier Pick-Up
- Parcel return services
- Additional innovations

Pursuing Reform
- Consensus on need for change
- President's Commission on Postal Service
- CSRS funding reform legislation
- Pending legislation
- Reforming our own processes

Evaluators and Employees: Select core requirements.
Through an interactive discussion, the evaluator and employee determine which core requirements will be used to track the employee's performance for the year.* These core requirements should be selected based on the employee's line-of-sight or influence in the organization. The evaluator and employee discuss these core requirements in order to clarify expectations and come to a mutual understanding on what goals the employee should target for the year.

Remember: The number of core requirements an employee selects is based on his or her pay package. The type of core requirements—either narrative core requirements the employee drafts or pre-determined core requirements he or she chooses from a list—is also based on his or her pay package. See the section of this document that is customized to your pay package for a detailed description of what combination of objective performance indicators and individual performance objectives are used to evaluate you and others who are in the same pay package.

Evaluators and Employees: Identify trackable systems and target outcomes for each core requirement.
The evaluator and employee should consider the following questions:

- At what performance level will the employee achieve his or her core requirements indicators?
- Are his or her targets challenging but achievable?
- Will the employee's performance against these targets achieve a higher corporate success? How will the employee track his or her results?

These questions are answered when the employee and evaluator define target outcomes* and the systems the employee will use to measure how well he or she meets his or her targets. (Figure D)

HQ employees must define targets at the contributor level, while field employees must define targets at the contributor, high contributor, and exceptional contributor performance levels.

ESTABLISHING PERFORMANCE TARGETS

Figure D

When defining target outcomes at the contributor level, remember that this represents a level of performance based on "plan" targets. An employee's plans should be set above the performance achieved same period last year (SPLY). This level of performance forms the basis upon which to measure achievement of "stretch" targets (high contributor) and "breakthrough" targets (exceptional contributor), as illustrated in Figure D.

Evaluators and Employees: Review pre-determined behavioral core requirements, if applicable.
Some EAS pay packages have pre-determined behavioral core requirements that employees are automatically assigned. If applicable, evaluators should review these core requirements with employees and ensure that they are familiar with the behavioral benchmarks stated for each level of performance.

Employees: Submit the agreed-upon core requirements for formal approval through PES.
After the evaluator and employee discuss the information described above, the employee uses PES to document the core requirements determined, the trackable systems identified, and the target performance outcomes set. (Employees without computer access document this information on a paper form, which is available via the PFP website.) The employee then submits the information to his or her evaluator for formal approval through PES.

Evaluators: Review the employee's objectives and targets through PES.
Ask these questions while you perform your review:
- Are these indicators within the employee's line of sight?
- Are the performance level targets achievable?
- Will achieving these targets help move the organization toward higher performance?
- Are the targets challenging? Can they be measured?
- Can results be quantified?

Evaluators: Approve the objectives and targets in PES, or return them to the employee for additional work.
If the employee has accurately documented the objectives and targets discussed, the evaluator approves them via PES. If the employee needs to complete additional work, the evaluator returns them to the employee with instructions regarding what revisions are needed.

Mid-Year Accomplishments/Review

Employees: Document your accomplishments in PES.
Employees provide specific examples of achievements toward the core requirements they set at the beginning of the year. Employees submit this information to their evaluators via PES. (Employees without computer access document this information on a paper form, which is available via the PFP website.)

Evaluators: Review the employee's accomplishments in PES.
An evaluator reviews an employee's accomplishments in PES. At this time, an evaluator also reviews any objective performance indicators that the employee is being evaluated against. (This information is available on the employee's mid-year NPA Report Card Detail, which can be obtained from the Postal Service Intranet (Blue) in WebEIS.) An evaluator should review all of this information prior to holding a mid-year performance review discussion with the employee.

Evaluators: Conduct a mid-year performance review discussion with the employee.
Evaluators provide feedback concerning the employee's performance, specifically addressing the employee's objective performance indicators and/or core requirements. Evaluators then use PES to enter the date these discussions took place.

Mid-year performance reviews are a critical component of the performance evaluation process and are a key managerial responsibility. Evaluators are held personally accountable for ensuring that these mid-year performance reviews are properly conducted and are completed in a timely fashion.

End-of-Year Accomplishments/Evaluation

Employees: Document your accomplishments in PES.
Employees provide specific examples of achievements toward the core requirements they set at the beginning of the year. Employees submit this information to their evaluators via PES. (Employees without computer access document this information on a paper form, which is available via the PFP website.)

Evaluators: Review the employee's accomplishments in PES.
An evaluator reviews an employee's accomplishments in PES. At this time, an evaluator also reviews any objective performance indicators that the employee is being evaluated against. (This information is available on the employee's end-of-year NPA Report Card Detail, which can be obtained from the Postal Service Intranet (Blue) in WebEIS.) An evaluator should review all of this information prior to holding an end-of-year performance review discussion with the employee.

Evaluators: Conduct an end-of-year performance evaluation discussion with the employee.
Evaluators provide feedback concerning the employee's performance, specifically addressing the employee's objective performance indicators and/or core requirements. Evaluators then use PES to enter the date these discussions took place.

End-of-year performance reviews are a critical component of the performance evaluation process and are a key managerial responsibility. Evaluators are held personally accountable for ensuring that these end-of-year performance reviews are properly conducted and are completed in a timely fashion.

Rating Assignment

Evaluators: Enter an end-of-year core requirements rating for the employee.
Evaluators use PES to assign recommended core requirements ratings, based on an employee's performance (his or her contribution toward achieving the core requirements set at the beginning of the year). PES then combines these recommended core requirements ratings with the score an employee received on his or her objective performance indicators (from NPA), if applicable. The combination of these ratings—the employee's "overall performance rating"—is then submitted for higher-level concurrence (when required).

Higher-Level Evaluators: Provide concurrence on overall performance ratings.
The next higher-level evaluator accesses PES to review and approve (in cases where required) the overall performance rating recommended for the employee. Only after this rating is approved by this higher-level evaluator is the employee advised of his or her overall performance rating.

At this point in the process, higher-level evaluators of HQ employees must also review functional score information. They must ensure that the average of all HQ EAS ratings in the unit does not exceed the VP's functional score. Also, they must ensure that the average of all HQ EAS' overall performance ratings does not exceed the corporate NPA result.

Performance Measures – Information Specific to Your Pay Package

General Information

Employees' performance is measured against the following components:

	Corporate/Unit Indicators (NPA)	Core Requirements (PES)
ACS Attorneys	N/A	✓
Area EAS	✓	✓
EAS Postmasters	✓	✓
Field EAS	✓	✓
EEO Field Operations	✓	✓
HQ/HQ-Related EAS	N/A	✓
PPO Managers/Supervisors	✓	✓
Sales EAS	N/A	✓

Corporate/unit indicators are identified in the National Performance Assessment (NPA) system. NPA tracks actual performance against these indicators. NPA is found on the USPS Intranet (Blue) in WebEIS.

Core requirements are developed in an interactive discussion between the evaluator and employee at the beginning of the fiscal year and are documented in the Performance Evaluation System (PES). This component provides recognition for an individual's contributions toward raising the organization's performance.

These components are weighted as follows:

	Corporate/Unit Indicators (NPA) Weighting Percentage	Core Requirements (PES) Weighting Percentage
ACS Attorneys	N/A	100%
Area EAS	70%	30%
EAS Postmasters	80%	20%
Field EAS	70%	30%
EEO Field Operations	70%	30%
HQ/HQ-Related EAS	N/A	100%
PPO Managers/Supervisors	70%	30%
Sales EAS	N/A	100%

Core Requirements (PES)

Employees are rated on the following number/type of core requirements:

	Total Number of Core Requirements	Types of Core Requirements		
		Narrative Measurable	Pre-Determined Measurable	Pre-Determined Behavioral
ACS Attorneys	4	3	--	1
Area EAS	2	2	--	--
EAS Postmasters	2	--	--	2
Field EAS	4	--	3	1
EEO Field Operations	4	--	3	1
HQ/HQ-Related EAS	4	3	--	1
PPO Managers/Supervisors	4	--	3	1
Sales EAS	3	--	3	--

Narrative measurable core requirements are:
- measurable and trackable through an identified data source
- drafted by an employee and his/her evaluator during the objective-setting discussion, and
- entered into PES.

Pre-determined measurable core requirements are:
- measurable and trackable through an identified data source
- established at the beginning of the year by HQ and made available to employees/evaluators for review during the objective-setting process, and
- selected from a drop-down menu in PES according to function and job title. *

   * Note: Some specific field EAS job titles have the option to choose "Other" as one of their pre-determined measurable core requirements (accessed through a drop-down menu in PES). If "Other" is chosen, the employee is prompted to enter a description, targets, and a trackable system into PES.

Both types of measurable core requirements are defined by performance indicators, trackable systems used to verify achieved performance, and target outcomes that measure achieved performance:
- **Performance indicator:** Established measure that is documented at the beginning of the year.
- **Trackable system:** System used to demonstrate achieved performance against target outcome.
- **Target outcome:** A defined score to measure achieved performance.

Pre-determined behavioral core requirements are:
- developed with pre-determined performance expectations and targets (numerical targets and trackable systems are **not** set for behavioral core requirements)
- established at the beginning of the year by HQ and made available to employees/evaluators for review during the objective-setting process, and
- already populated on the user's screen in PES to show performance expectations and targets.

Pre-determined behavioral core requirements are defined as outlined on the following pages.

Field EAS, PPO Managers/Supervisors, and **EEO Field Operations** employees are rated on one behavioral objective as their fourth core requirement:

1. **Oral Communication Core Requirement**
   - **Non-Contributor Level:** Not applicable.
   - **Contributor Level:** Generally states ideas and instructions clearly and concisely. Gives attention to what others are saying and takes the time to understand points that are being made. Uses appropriate tone and attitude when communicating with others. Provides a satisfactory managerial example while motivating employees to work towards departmental goals and objectives. Provides practical direction to employees and communicates the department's shared vision. Available to help the team accomplishes its goals. Assesses individual strengths and weaknesses and suggests methods for improvement. Supports the organizations mandate through support of its goals and values.
   - **High Contributor Level:** Consistently states ideas and instructions clearly and concisely. Gives attention to what others are saying and takes the time to understand points that are being made. Works to ensure understanding and asks for or provides clarification when needed. Uses language, examples, and concepts appropriate to the audience. Makes decisions and sets policies on controversial issues and provides innovative direction in resolving problems.
   - **Exceptional Contributor Level:** Articulates in a wide range of communication situations with all levels of the organization. Consistently states ideas and instructions clearly and concisely. Gives attention to what others are saying and takes the time to understand points that are being made. Works to ensure understanding and asks for or provides clarification when needed. Uses language, examples, and concepts appropriate to the audience. Provides exceptional leadership in planning organizing, maintaining, controlling and maximizing operations. Extends the opportunity for growth and development to all staff.

EAS Postmasters are rated on two pre-determined behavioral core requirements. Employees provide a narrative at the beginning of the fiscal year in PES describing actions they plan to take to achieve these objectives.

1. **Leadership and Communication Core Requirement**
   - **Non-Contributor Level:** Has difficulty in guiding staff in a positive manner. Inconsistent in providing a satisfactory managerial example while motivating employees to work toward goals and objectives. Occasionally inflexible when managing changing conditions in the organization.
   - **Contributor Level:** Provides a satisfactory managerial example while motivating employees to work toward the post office's goals and objectives. Provides practical direction to employees and clearly communicates the post office's shared vision. Flexible when dealing with and managing changing conditions in the organization. Consistently available to help the team to accomplish their goal(s). Assesses individuals' strengths and weaknesses and suggests methods for improvement. Supports the organization's mandate through support of its goals and values.
   - **High Contributor Level:** Makes decisions and sets policy on controversial issues and provides innovative direction in resolving problems.
   - **Exceptional Contributor Level:** Provides exceptional leadership in planning, organizing, maintaining, controlling and maximizing operations. Extends the opportunity for growth and development to all staff.

2. **Fiscal Management Core Requirement**
   - **Non-Contributor Level:** Inconsistent in using resources efficiently to accomplish organizational goals. Inconsistent in using or shifting resources to meet objectives. Maintains less than acceptable fiscal responsibility while seeking ways to reduce costs.
   - **Contributor Level:** Makes effective use of available resources (employee's time and materials) to accomplish organizational goals. Maintains fiscal responsibility while seeking for way to reduce cost. Consistently uses and allocates resources to meet objectives.
   - **High Contributor Level:** Often gains greater use of available resources then expected.
   - **Exceptional Contributor Level:** Frequently and effectively uses limited resources to gain maximum results. Highly innovative and successful in identifying alternative resources to accomplish objectives.

HQ/HQ-Related EAS and ACS Attorneys are rated on one behavioral objective as their fourth core requirement. This "Core Performance Dimensions" is made up of four components. During the objective-setting process, evaluators and employees may select all or some of these components on which to evaluate the employee.

1. **Problem Solving**
   - **Contributor:** Identifies/researches problems to generate and evaluate one or more solutions.
   - **High Contributor:** Considers direct and indirect effects in evaluating potential solutions.
   - **Exceptional Contributor:** Seizes the opportunity for making long-term improvement through solving complex problems.

2. **Planning & Organizing**
   - **Contributor:** Uses resources (time, funding, employees, technology) to meet work-related objectives. Develops sound, realistic plans. Prioritizes work. Coordinates activities with stakeholders to meet goals and objectives. Monitors and tracks progress on a regular basis.
   - **High Contributor:** Frequently shifts resources to meet or exceed work-related objectives. Often gets more out of available resources than expected. Incorporates strategies to handle potential challenges or obstacles in planning. Adjusts plans based on progress. Uses minimal resources to produce high performance results.
   - **Exceptional Contributor:** Uses and shifts resources to meet or exceed work related objectives. Is innovative in obtaining alternate resources or minimizing work. Develops thorough plans with strategies for handling potential challenges and/or competing priorities. Coordinates activities with involved individuals or groups considering impact on plan and on other parties.

3. **Customer Focus (Internal & External)**
   - **Contributor:** Provides accurate and timely internal/external customer service. Meets customer expectations.
   - **High Contributor:** Consistently meets and sometimes exceeds customer expectations. Uses feedback to improve service.
   - **Exceptional Contributor:** Consistently exceeds internal/external customer's expectations by anticipating needs and proactively making recommendations. Actively seeks feedback for continuous improvement.

4. **Communication**
   - **Contributor:** Demonstrates oral and written communication on the job. Presents information logically and in an organized fashion – is clear and concise.
   - **High Contributor:** Considers audience, communicates effectively orally and in writing. Facilitates successful, two-way communication, integrating information and adding value.
   - **Exceptional Contributor:** Interprets and communicates complex information orally and in writing, targeting message to a diverse audience. Expresses ideas effectively regardless of group size or organizational level of audience.

Corporate/Unit Indicators (NPA)

Remember: HQ/HQ-Related EAS, Sales EAS, and ACS Attorneys **are not rated on** *corporate/unit indicators. Information in this section does* **not** *apply to these groups.*

Corporate/unit indicators **do impact** Area EAS, EAS Postmasters, Field EAS, EEO Field Operations, and PPO Managers/Supervisors. For these employees, corporate/unit indicators are defined by three components: weighting, target outcomes, and thresholds.

- Each indicator is **weighted** as a percentage toward the composite summary, based on the employee's position and line of sight.
- **Target outcomes** are linked to a numerical rating in a 15-point matrix. The higher or better the target, the higher the numerical rating.
- Each target outcome has a **threshold**. Actual performance must reach the threshold (the lowest score that can be achieved to reach a specific matrix rank) in order to receive that numeric rating.

Corporate and unit indicators, specific thresholds, targets, and weights applicable to these employees can be found under NPA on the USPS Intranet (Blue) in WebEIS.

Corporate and unit target outcomes are measured in NPA with the overall weight for both corporate and unit indicators set to 100% to determine the corporate and unit summaries. Once these summaries are determined, NPA then multiplies each by the overall corporate and unit weights that have been set for each of these pay packages.

Corporate and unit summaries are combined for each of these pay packages. This results in the employees "composite summary." The composite summary represents a percentage of the overall performance rating for the employee.

Overall Performance Rating

Employees receive ratings as follows:

	Corporate/Unit Indicators (NPA)	Core Requirements (PES)
ACS Attorneys	N/A	An employee receives a single numeric rating based on his/her progress toward achieving the four core requirements set at the beginning of the year. The single rating is weighted at 100%.
Area EAS	An employee's composite summary is imported into PES from NPA for this portion of the process. Corporate/unit indicators are weighted at 70%.	An employee receives a numeric rating for each of his/her two core requirements based on his/her progress toward achieving the targets set at the beginning of the year. Each rating is weighted at 15%, for a total of 30%.
EAS Postmasters	An employee's composite summary is imported into PES from NPA for this portion of the process. Corporate/unit indicators are weighted at 80%.	An employee receives a numeric rating for each of his/her two core requirements based on his/her progress toward achieving the targets set at the beginning of the year. Each rating is weighted at 10%, for a total of 20%.
Field EAS	An employee's composite summary is imported into PES from NPA for this portion of the process. Corporate/unit indicators are weighted at 70%.	An employee receives a numeric rating for each of his/her four core requirements based on his/her progress toward achieving the targets set at the beginning of the year. The three narrative ratings are weighted at 8% each, and the pre-determined behavioral objective is weighted at 6%. This totals 30%.
EEO Field Operations	An employee's composite summary is imported into PES from NPA for this portion of the process. Corporate/unit indicators are weighted at 70%.	An employee receives a numeric rating for each of his/her four core requirements based on his/her progress toward achieving the targets set at the beginning of the year. The three pre-determined behavioral objectives ratings are weighted at 8% each, and the behavioral objective is weighted at 6%. This totals 30%.
HQ/HQ-Related EAS	N/A	An employee receives a single numeric rating based on his/her progress toward achieving the four core requirements set at the beginning of the year. The single rating is weighted at 100%.
PPO Managers/ Supervisors	An employee's composite summary is imported into PES from NPA for this portion of the process. Corporate/unit indicators are weighted at 70%.	An employee receives a numeric rating for each of his/her four core requirements based on his/her progress toward achieving the targets set at the beginning of the year. The three narrative ratings are weighted at 8% each, and the pre-determined behavioral objective is weighted at 6%. This totals 30%.

Sales EAS	N/A	An employee receives a numeric rating for each of his/her three core requirements based on his/her progress toward achieving the targets set at the beginning of the year.
		The first rating is weighted at 80%, and the subsequent ratings are each rated at 10%, for a total of 100%.
		While the Sales core requirements are weighted as described above, the final overall ratings must fall within the VP's functional average.

With regard to the assignment of core requirements ratings, evaluators assign ratings based on the following matrix:

Contribution Levels Under the 15-Point Matrix
These ratings are assigned for ACS Attorneys,
Sales EAS, and HQ/HQ-Related EAS.

Non-Contributor	Contributor		High Contributor	Exceptional Contributor
3	6	9	12	15
2	5	8	11	14
1	4	7	10	13

Contribution Levels Under the 15-Point Matrix
These ratings are assigned for Area EAS, EAS Postmasters,
Field EAS, EEO Field Operations, and PPO Managers/Supervisors

Non-Contributor	Contributor	High Contributor	Exceptional Contributor
0	6	11	14

To determine an employee's overall performance rating, the aggregate results of the evaluation process—including core requirements ratings and corporate/unit indicators—are used to determine **one numeric rating.** The following examples illustrate how this calculation process is carried out.

Example (ACS Attorney)

- An ACS Attorney set four core requirements at the beginning of the year.
- He or she is **not** measured on corporate/unit indicators (NPA).
- At the end of the year, the employee receives a single core requirements rating of 12 (via PES).

Indicator	Rating Value	Weight	Score
Composite Summary (NPA)	N/A	N/A	N/A
Core Requirements Rating (PES)	12	100%	12
Overall Performance Rating			12 Rounded to nearest whole number = 12

Example (Area EAS)

- An Area EAS employee set two core requirements at the beginning of the year.
- He or she is measured on corporate/unit indicators (NPA).
- At the end of the year, the employee receives a composite summary of 8.25 (via NPA).
- At the end of the year, the employee receives two core requirements ratings—one of a 6 and one of an 11 (via PES).

Indicator	Rating Value	Weight	Score
Composite Summary (NPA)	8.25	70%	5.78
Core Requirements Rating (PES)	6	15%	0.90
	11	15%	1.65
Overall Performance Rating			8.33 Rounded to nearest whole number = 8

Example (EAS Postmasters)

- An EAS Postmaster set two core requirements at the beginning of the year.
- He or she is measured on corporate/unit indicators (NPA).
- At the end of the year, the employee receives a composite summary of 9.05 (via NPA).
- At the end of the year, the employee receives two core requirements ratings—one of an 11 and one of a 14 (via PES).

Indicator	Rating Value	Weight	Score
Composite Summary (NPA)	9.05	80%	7.24
Core Requirements Rating (PES)	11	10%	1.10
	14	10%	1.40
Overall Performance Rating			9.74 Rounded to nearest whole number = 10

Example (Sales EAS)

- An employee set three core requirements at the beginning of the year.
- He or she is **not** measured on corporate/unit indicators (NPA).
- At the end of the year, the employee receives a three core requirements ratings—one of 6, another of 6, and one of 11 (via PES).

Indicator	Rating Value	Weight	Score
Core Requirements Rating (PES)	6	80%	4.80
	6	10%	0.60
	11	10%	1.10
Overall Performance Rating This rating must fall within the VP's functional average.			6.50 Rounded to nearest whole number = 7

Example (Field EAS, EEO Field Operations, and PPO Managers/Supervisors)

- An employee set four core requirements at the beginning of the year.
- He or she is measured on corporate/unit indicators (NPA).
- At the end of the year, the employee receives a composite summary of 5.65 (via NPA).
- At the end of the year, the employee receives a four core requirements ratings—one of 6, another of 6, one of 11, and one of 14 (via PES).

Indicator	Rating Value	Weight	Score
Composite Summary (NPA)	5.65	70%	3.96
Core Requirements Rating (PES)	6	8%	0.48
	6	8%	0.48
	11	8%	0.88
	14	6%	0.84
Overall Performance Rating			6.64 Rounded to nearest whole number = 7

Example (HQ/HQ-Related EAS)

- An HQ/HQ-Related EAS employee set four core requirements at the beginning of the year.
- He or she is **not** measured on corporate/unit indicators (NPA).
- At the end of the year, the employee receives a single core requirements rating of 8 (via PES).

Indicator	Rating Value	Weight	Score
Composite Summary (NPA)	N/A	N/A	N/A
Core Requirements Rating (PES)	8	100%	8
Overall Performance Rating			8 Rounded to nearest whole number = 8

Salary Increases

An EAS employee's overall performance rating is used to determine the level of compensation payable, based on a 15-point matrix, as shown below:

Overall Performance Ratings/Salary Increases Under the 15-Point Matrix

Non-Contributor	Contributor		High Contributor	Exceptional Contributor
3 0.0%	6 3.5%	9 6.5%	12 9.5%	15 12.0%
2 0.0%	5 3.0%	8 5.75%	11 8.75%	14 11.0%
1 0.0%	4 2.5%	7 5.0%	10 8.0%	13 10.25%

Lump Sum Payments

All percentages are paid as salary increases, if there is room within the employee's salary structure.

If the employee's award amount is limited by his or her salary structure, then the award will be converted to a lump sum payment.

Resources

Please check the PFP website periodically for the latest policies and information on the Pay-for-Performance process.

You can access the PFP website in two ways:
- Go to the Blue page and click on **Pay-for-Performance.**
- You can also go to the Blue page and click on **Human Resources.** Then click on **Pay-for-Performance.**

The site includes general information on the program, as well as information customized to your role as an employee and/or an evaluator. The site also includes a series of quick-start guides that provide detailed instructions on the use of PES.

Performance Evaluation System

Guidelines Covering Pay-for-Performance for PCES Employees

Includes:
- *HQ/HQ-Related Executives*
    - *Includes Sales Executives*
- *Area & Field Executives*

Version 2, October 2005

Table of Contents

Overview of this Guide

This document provides an overview of the USPS Pay-for-Performance (PFP) Program for PCES Executives. It describes the purpose of the program and the major phases of the process. This guide also provides specific information regarding the performance indicators that are used to measure your performance and the performance of other employees who are in the same pay package.

Overview of the PFP Program

The PFP program focuses on three key elements:
- improving accountability for individual contributions to organizational success
- providing clear expectations and feedback on progress toward target outcomes, and
- rewarding and recognizing exceptional individual performance for achieving challenging objectives.

Employees are evaluated on objective performance indicators and individual performance objectives (core requirements):
- **Objective performance indicators** are established at the corporate and unit levels. They are aligned to improve customer service, generate revenue, manage costs, and enhance a performance-based culture. These indicators are established at the corporate and unit levels and are tracked via the National Performance Assessment System (NPA).
- **Individual performance objectives (core requirements)** are established on the individual level and provide a mechanism for employees to identify their personal contributions to corporate and unit success. Core requirements are established at the beginning of the year during an interactive discussion between an employee and evaluator and are tracked via the Performance Evaluation System (PES).

(See the section of this document that is customized to your pay package for a detailed description of what combination of objective performance indicators and/or individual performance objectives are used to evaluate you and others who are in the same pay package.)

For both **objective performance indicators** and **core requirements**, a performance incentive is associated with achieving each level of performance—contributor, high contributor, and exceptional contributor. (Figure A)

In the past, the USPS performance evaluation program was based only on the finish line; only one goal and one incentive existed. Once an employee met a goal, he or she had no incentive to achieve higher performance. Likewise, an employee far below a goal had no incentive to continue achieving. (Figure B)

The PFP program takes the USPS in a new direction with regard to performance evaluation. PFP allows employees to concentrate on achievements within their control or influence and based on their line-of-sight in the organization. (Figure C) Employees know what is
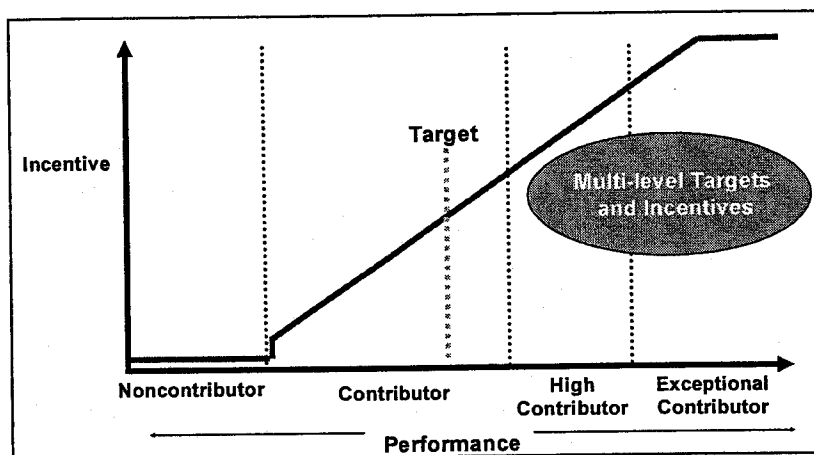
Figure A
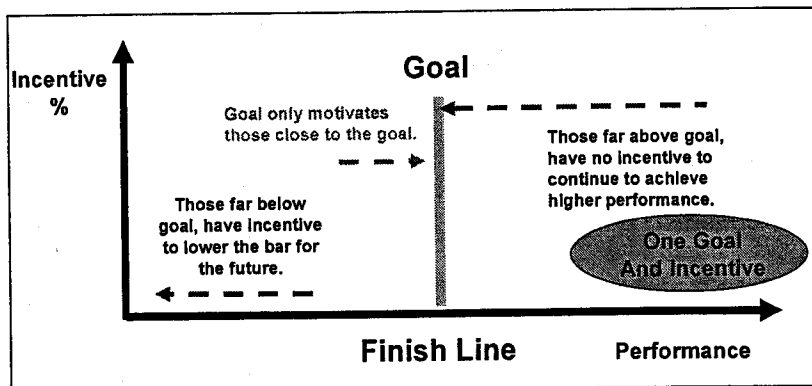
Figure B

expected of them and how their actions impact the organization. The closer an employee is to a target, the more motivated he or she will be to achieve the target. Also, employees who are far above or below a target have incentive to continue improving because their efforts are still recognized. In this way, the PFP program encourages higher performance at every level.

Line-of-Sight Measures

Corporate and Unit Indicators

+

Core Requirements

Performance Achieved = Employee Compensation
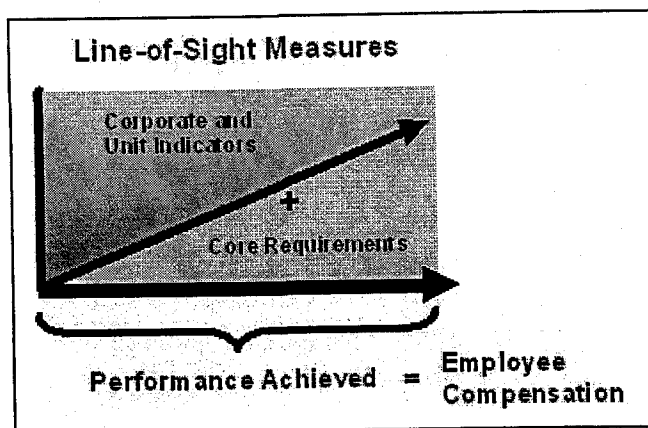
Figure C

The Performance Evaluation Process

This section provides an overview of the process, which is comprised of four main phases:
- Objective Setting
- Mid-Year Accomplishments/Evaluation
- End-of-Year Accomplishments/Evaluation, and
- Rating Assignment.

Objective-Setting

Evaluators: Plan your strategy for the fiscal year.
As a leader of a unit, an evaluator needs to plan what he or she wants the unit to accomplish, deliver, and/or improve. Evaluators must:
- determine what they hope to achieve by the end of the year
- describe how the unit will contribute to organizational success
- define strategies to achieve those desired outcomes, and
- direct the team where to focus for the fiscal year.

Evaluators and Employees: Focus on the contributions you can make in your line-of-sight or influence.
The PMG has established a "Delivering Results" star, which outlines the organization's enterprise-wide goals. Evaluators and employees should evaluate how their individual actions can make a positive impact on the following areas:

Developing
People

Pursuing
Reform

Managing
Costs

**KEEPING
OUR
FOCUS**

Growing
Revenue

Improving
Service

The PMG's "Delivering Results" Star

Managing Costs
- $5B in cost reductions
- Fourth straight year of positive TFP
- Reduced debt by $4B
- Transformed administrative, network, purchasing processes

Improving Service
- Record end-to-end service performance
- Record customer satisfaction
- Unrivaled access to services and information
- My Post Office expansion
- Quick, easy, convenient
- Reply Mail website

Developing People
- Workplace environment improvement
- Record safety performance
- Training and development innovations
- Corporate succession planning
- Performance-based pay systems

Growing Revenue
- Stable rates
- Customer-driven production innovations
- Click-N-Ship
- Online insurance
- Customer Connect
- Carrier Pick-Up
- Parcel return services
- Additional innovations

Pursuing Reform
- Consensus on need for change
- President's Commission on Postal Service
- CSRS funding reform legislation
- Pending legislation
- Reforming our own processes

Evaluators and Employees: Select core requirements.
Through an interactive discussion, the evaluator and employee determine which core requirements will be used to track the employee's performance for the year.* These core requirements should be selected based on the employee's line-of-sight or influence in the organization. The evaluator and employee discuss these core requirements in order to clarify expectations and come to a mutual understanding on what goals the employee should target for the year.

Remember: The number of core requirements an employee selects is based on his or her pay package. The type of core requirements—either narrative core requirements the employee drafts or pre-determined core requirements he or she chooses from a list—is also based on his or her pay package. See the section of this document that is customized to your pay package for a detailed description of what combination of objective performance indicators and individual performance objectives are used to evaluate you and others who are in the same pay package.

Evaluators and Employees: Identify trackable systems and target outcomes for each core requirement.
The evaluator and employee should consider the following questions:

- At what performance level will the employee achieve his or her core requirements indicators?
- Are his or her targets challenging but achievable?
- Will the employee's performance against these targets achieve a higher corporate success? How will the employee track his or her results?

These questions are answered when the employee and evaluator define target outcomes* and the systems the employee will use to measure how well he or she meets his or her targets. (Figure D)

HQ employees must define targets at the contributor level, while field employees must define targets at the contributor, high contributor, and exceptional contributor performance levels.

Figure D

When defining target outcomes at the contributor level, remember that this represents a level of performance based on "plan" targets. An employee's plans should be set above the performance achieved same period last year (SPLY). This level of performance forms the basis upon which to measure achievement of "stretch" targets (high contributor) and "breakthrough" targets (exceptional contributor), as illustrated in Figure D.

Evaluators and Employees: Review pre-determined behavioral core requirements, if applicable.
Some EAS pay packages have pre-determined behavioral core requirements that employees are automatically assigned. If applicable, evaluators should review these core requirements with employees and ensure that they are familiar with the behavioral benchmarks stated for each level of performance.

Employees: Submit the agreed-upon core requirements for formal approval through PES.
After the evaluator and employee discuss the information described above, the employee uses PES to document the core requirements determined, the trackable systems identified, and the target performance outcomes set. (Employees without computer access document this information on a paper form, which is available via the PFP website.) The employee then submits the information to his or her evaluator for formal approval through PES.

Evaluators: Review the employee's objectives and targets through PES.
Ask these questions while you perform your review:
- Are these indicators within the employee's line of sight?
- Are the performance level targets achievable?
- Will achieving these targets help move the organization toward higher performance?
- Are the targets challenging? Can they be measured?
- Can results be quantified?

Evaluators: Approve the objectives and targets in PES, or return them to the employee for additional work.
If the employee has accurately documented the objectives and targets discussed, the evaluator approves them via PES. (This action forwards them on for higher-level review and approval.) If the employee needs to complete additional work, the evaluator returns them to the employee with instructions regarding what revisions are needed.

Higher-Level Evaluators: Review employee objectives and targets through PES.
Next higher-level evaluators also review employee objectives. They must provide concurrence on them before they are finalized for the year.

Mid-Year Accomplishments/Review

Employees: Document your accomplishments in PES.
Employees provide specific examples of achievements toward the core requirements they set at the beginning of the year. Employees submit this information to their evaluators via PES. (Employees without computer access document this information on a paper form, which is available via the PFP website.)

Evaluators: Review the employee's accomplishments in PES.
An evaluator reviews an employee's accomplishments in PES. At this time, an evaluator also reviews any objective performance indicators that the employee is being evaluated against. (This information is available on the employee's mid-year NPA Report Card Detail, which can be obtained from the Postal Service Intranet (Blue) in WebEIS.) An evaluator should review all of this information prior to holding a mid-year performance review discussion with the employee.

Evaluators: Conduct a mid-year performance review discussion with the employee.
Evaluators provide feedback concerning the employee's performance, specifically addressing the employee's objective performance indicators and/or core requirements. Evaluators then use PES to enter the date these discussions took place.

Mid-year performance reviews are a critical component of the performance evaluation process and are a key managerial responsibility. Evaluators are held personally accountable for ensuring that these mid-year performance reviews are properly conducted and are completed in a timely fashion.

End-of-Year Accomplishments/Evaluation

Employees: Document your accomplishments in PES.
Employees provide specific examples of achievements toward the core requirements they set at the beginning of the year. Employees submit this information to their evaluators via PES. (Employees without computer access document this information on a paper form, which is available via the PFP website.)

Evaluators: Review the employee's accomplishments in PES.
An evaluator reviews an employee's accomplishments in PES. At this time, an evaluator also reviews any objective performance indicators that the employee is being evaluated against. (This information is available on the employee's end-of-year NPA Report Card Detail, which can be obtained from the Postal Service Intranet (Blue) in WebEIS.) An evaluator should review all of this information prior to holding an end-of-year performance review discussion with the employee.

Evaluators: Conduct an end-of-year performance evaluation discussion with the employee.
Evaluators provide feedback concerning the employee's performance, specifically addressing the employee's objective performance indicators and/or core requirements. Evaluators then use PES to enter the date these discussions took place.

End-of-year performance reviews are a critical component of the performance evaluation process and are a key managerial responsibility. Evaluators are held personally accountable for ensuring that these end-of-year performance reviews are properly conducted and are completed in a timely fashion.

Rating Assignment

Evaluators: Enter an end-of-year core requirements rating for the employee.
Evaluators use PES to assign recommended core requirements ratings, based on an employee's performance (his or her contribution toward achieving the core requirements set at the beginning of the year). PES then combines these recommended core requirements ratings with the score an employee received on his or her objective performance indicators (from NPA), if applicable. The combination of these ratings—the employee's "overall performance rating"—is then submitted for higher-level concurrence (when required).

Higher-Level Evaluators: Provide concurrence on overall performance ratings.
The next higher-level evaluator accesses PES to review and approve (in cases where required) the overall performance rating recommended for the employee. Only after this rating is approved by this higher-level evaluator is the employee advised of his or her overall performance rating.

At this point in the process, higher-level evaluators of HQ employees must also review functional score information. They must ensure that the average of all HQ executives' ratings in the unit does not exceed the VP's functional score. Also, they must ensure that the average of all HQ/HQ-Related executives' overall performance ratings does not exceed the corporate NPA result.

Performance Measures – Information Specific to Your Pay Package

General Information

Executives' performance is measured against the following components:

	Corporate/Unit Indicators (NPA)	Core Requirements (PES)
HQ/HQ-Related Executives (including Sales Executives)	N/A	✓
Area & Field Executives	✓	✓

Corporate/unit indicators are identified in the National Performance Assessment (NPA) system. NPA tracks actual performance against these indicators. NPA is found on the USPS Intranet (Blue) in WebEIS.

Core requirements are developed in an interactive discussion between the evaluator and executive at the beginning of the fiscal year and are documented in the Performance Evaluation System (PES). This component provides recognition for an individual's contributions toward raising the organization's performance.

These components are weighted as follows:

	Corporate/Unit Indicators (NPA) Weighting Percentage	Core Requirements (PES) Weighting Percentage
HQ/HQ-Related Executives (including Sales Executives)	N/A	100%
Area & Field Executives	70%	30%

Core Requirements (PES)

Executives must set the following number of core requirements:

	Number of Core Requirements	Type of Core Requirements
HQ/HQ-Related Executives (including Sales Executives)	4	4 narrative core requirements
Area & Field Executives	2	2 narrative core requirements

Core requirements are developed from the duties and responsibilities of each executive's position. They are defined by performance indicators, trackable systems used to verify achieved performance, and target outcomes that measure achieved performance at the contributor performance level.

- **Performance indicator:** Established measure that is documented at the beginning of the year.
- **Trackable system:** System used to demonstrate achieved performance against target outcome.
- **Target outcome:** A defined score to measure achieved performance.

Corporate/Unit Indicators (NPA)

Remember: HQ/HQ-Related Executives (including Sales Executives) **are not rated on** *corporate/unit indicators. Information in this section does* **not** *apply to HQ/HQ-Related Executives (or Sales Executives).*

Corporate/unit indicators **do impact** Area & Field Executives. For these employees, corporate/unit indicators are defined by three components: weighting, target outcomes, and thresholds.

- Each indicator is **weighted** as a percentage toward the composite summary, based on the area office or field executive's position and line of sight.
- **Target outcomes** are linked to a numerical rating in a 15-point matrix. The higher or better the target, the higher the numerical rating.
- Each target outcome has a **threshold**. Actual performance must reach the threshold (the lowest score that can be achieved to reach a specific matrix rank) in order to receive that numeric rating.

Corporate and unit indicators, specific thresholds, targets, and weights applicable to Area & Field Executives can be found under NPA on the USPS Intranet (Blue) in WebEIS.

Corporate and unit target outcomes are measured in NPA with the overall weight for both corporate and unit indicators set to 100% to determine the corporate and unit summaries. Once these summaries are determined, NPA then multiplies each by the overall corporate and unit weights that have been set for Area & Field Executives.

Corporate and unit summaries are combined for each Area & Field Executive. This results in the executive's "composite summary." The composite summary represents a percentage of the overall performance rating for the executive.

Overall Performance Rating

Executives receive ratings as follows:

	Corporate/Unit Indicators (NPA)	Core Requirements (PES)
HQ/HQ-Related Executives (including Sales Executives)	N/A	An executive receives a single numeric rating (see table below) based on his or her progress toward achieving the four core requirements set at the beginning of the year.
Area & Field Executives	An executive's composite summary is imported into PES from NPA for this portion of the process.	An executive receives a single numeric rating (see table below) based on his or her progress toward achieving the four core requirements set at the beginning of the year.

With regard to the assignment of core requirements ratings, evaluators assign ratings based on the following matrix:

Contribution Levels Under the 15-Point Matrix

Non-Contributor	Contributor			High Contributor	Exceptional Contributor
3	6	9		12	15
2	5	8		11	14
1	4	7		10	13

To determine an employee's overall performance rating, the aggregate results of the evaluation process—including core requirements ratings and corporate/unit indicators—are used to determine **one numeric rating.** The following examples illustrate how this calculation process is carried out.

Example (HQ/HQ-Related Executives, including Sales Executives)
- An HQ/HQ-Related Executive set four core requirements at the beginning of the year.
- He or she is **not** measured on corporate/unit indicators (NPA).
- At the end of the year, the executive receives a single core requirements rating of 9 (via PES).

Indicator	Rating Value	Weight	Score
Composite Summary (NPA)	N/A	N/A	N/A
Core Requirements Rating (PES)	9	100%	9.00
Overall Performance Rating			9.00

Example (Area & Field Executives)
- An Area & Field Executive set two core requirements at the beginning of the year.
- He or she **is** measured on corporate/unit indicators (NPA).
- At the end of the year, the executive receives a composite summary of 6.95 (via NPA).
- At the end of the year, the executive receives a single core requirements rating of 7 (via PES).

Indicator	Rating Value	Weight	Score
Composite Summary (NPA)	6.95	70%	4.86
Core Requirements Rating (PES)	7	30%	2.10
Overall Performance Rating			6.96 Rounded to nearest whole number = 7

Salary Increases

An executive's overall performance rating—along with his or her salary relative to the maximum of his or her salary range—is used to determine his or her level of compensation, as shown in the following table:

| Salary Relative to Maximum | Range of Increase by Performance Rating | | | | |
| | Non-Contributor | Contributor | | High Contributor | Exceptional Contributor |
	1, 2, 3	4, 5, 6	7, 8, 9	10, 11, 12	13, 14, 15
At or above	0%	Up to new salary max.	Up to new salary max.	Up to new salary max.	Up to new salary max.
0.1% to 9.9% below	0%	Up to 3%	Up to 4%	Up to 6%	Up to 8%
10.0% to 19.9% below	0%	Up to 3%	Up to 6%	Up to 8%	10%
20.0% to 29.9% below	0%	Up to 5%	Up to 8%	Up to 10%	12%
30.0% or more below	0%	Up to 7%	Up to 10%	Up to 12%	14%

Lump Sum Payments

In addition to a salary increase, an executive receives a lump sum payment based on his or her overall performance rating. This lump sum payment is paid as a percentage of the executive's salary, as shown in the following 15-point matrix:

Lump Sum Payment Percentage Amounts				
Non-Contributor	Contributor		High Contributor	Exceptional Contributor
1,2,3	4, 5, 6, 7, 8, 9		10,11,12	13,14,15
3 = 0%	6 = 3%	9 = 6%	12 = 10%	15 = 14-15%
2 = 0%	5 = 2%	8 = 5%	11 = 9%	14 = 13%
1 = 0%	4 = 1%	7 = 4%	10 = 8%	13 = 12%

Resources

Please check the PFP website periodically for the latest policies and information on the Pay-for-Performance process.

You can access the PFP website in two ways:
- Go to the Blue page and click on **Pay-for-Performance.**
- You can also go to the Blue page and click on **Human Resources.** Then click on **Pay-for-Performance.**

The site includes general information on the program, as well as information customized to your role as an employee and/or an evaluator. The site also includes a series of quick-start guides that provide detailed instructions on the use of PES.

FY 2006 Pay-for-Performance Program
Administrative Rules for EAS Employees

Purpose of Pay for Performance

What is Pay for Performance (PFP)?

PFP places emphasis on the organization's success through objective, measurable performance indicators. These performance indicators are measurable objectives aligned at the corporate level, functional unit level, and individual level.

Key elements of the program include:

- Ensuring expectations are clearly stated
- Providing periodic feedback on actual performance compared to established targets
- Aligning objectives at the individual level through the unit and organizational structures
- Recognizing individual successes that drive unit and organizational performance upward in a positive direction

PFP introduces a heightened awareness of performance distinctions, and individuals are recognized for the contributions they make to increase unit and corporate performance.

PFP enables employees to concentrate on achievements within their control and based on their line of sight in the organization. Employees learn at the beginning of the evaluation period where priorities lie, what is expected of them, and how results impact the organization.

The PFP Program is designed to:

- Provide clear performance expectations
- Provide regular feedback on individual and organizational performance
- Link individual contributions to organizational success
- Recognize and reward performance at different levels
- Ensure accountability at all levels of the organization

What is the PFP process?

Employees are evaluated on unit and corporate performance indicators as well as individual performance objectives (core requirements). The unit and corporate performance indicators are established and measured in the National Performance Assessment (NPA) system. Unit and corporate performance indicators are aligned to improve customer service, generate revenue, manage costs and enhance a performance-based culture.

Individual core requirements provide a mechanism for employees to identify their personal contributions to unit and corporate success. When determining core requirements, employees must define specific target outcomes.

Unit and corporate performance indicators and individual core requirements are established and communicated to all employees at the beginning of the evaluation period. Mid-year performance reviews offer an on-going opportunity for feedback and recommendations for continuous improvement and are required elements of the program. An end-of-year performance evaluation review pulls together contributions to unit and corporate performance indicators, and individual core requirements. This performance evaluation serves as the foundation for an annual pay action for most EAS employees.

Who is eligible for PFP?

Career non-bargaining unit employees, including A-E postmasters are included in PFP.

Employees who occupy the positions and employee categories identified in Attachment A are not included in PFP. Ineligible non-bargaining unit employees who are detailed to an eligible position are excluded from PFP. Bargaining-unit employees detailed to eligible positions are also excluded from PFP.

Who is considered an evaluator?

An evaluator manages or has leadership responsibility over the performance of an eligible employee. This person is responsible for the direct day-to-day performance management of employees. An evaluator monitors each employee's performance, provides appropriate resources, and is responsible for coaching and feedback.

An evaluator is accountable for the performance or nonperformance of the work unit. In headquarters and related units, a PCES unit manager may delegate the authority to a subordinate evaluator to oversee the work performance of employees provided there is a direct reporting relationship to the employee being evaluated. In these cases, the PCES unit manager retains the responsibility for proper implementation of PFP.

Administrative Process

How are individual core requirements determined?

Individual core requirements are selected through an interactive discussion between the employee and the evaluator at the beginning of the evaluation period. The employee is required to document the individual core requirements and forward them to the evaluator for approval.

Employees detailed, reassigned, promoted, or newly hired to eligible positions must determine individual core requirements within 30 days of assuming the position.

How are behavioral objectives handled?

For many EAS employees who are participants of PFP, core requirements may include one or more behavioral objectives that relate to specific job-related behaviors. The evaluated employee demonstrates these behaviors in the course of performing the duties and responsibilities of the position. These behavioral objectives were developed with pre-determined performance expectations and targets that form the basis upon which to measure an employee's performance.

Evaluators must not establish arbitrary targets or measurements to replace or support those that have already been predefined for behavioral objectives.

The behavioral objectives provide an opportunity to emphasize how individual behavior impacts corporate and unit indicators in certain key areas. By providing distinctions between the various levels of behavior, employees will be encouraged to adopt those behavioral traits that have a positive impact on the working environment, customer and employee relationships, and the overall financial integrity of the unit.

How do individual core requirements apply to detail assignments?

Employees detailed to position titles that exist on the current PFP menu or to national programs for which core requirements have been (or are expected to be) established must select individual core requirements related to the detail assignment.

Employees assigned to details that are not in accordance with the above provisions will be limited to a core requirements rating not to exceed six (6).

What recourse is available during the objective-setting process?

While the intention of the process is to have the employee and evaluator engage in an interactive dialogue during objective setting, the evaluator has the responsibility to establish the indicators and targets. An employee, who has concerns with the individual core requirements set during the interactive discussion with the evaluator, must document the concerns and rationale on a separate piece of paper. The employee must then discuss these concerns with the evaluator.

If the evaluator and employee cannot reach agreement, the employee can request that the next higher level review the individual core requirements and documented concerns, and make a final determination. This information is considered by the evaluator when determining the end-of-year performance rating.

What occurs during the mid-year performance review?

Employees document their contributions toward achieving the targets set in the individual core requirements. To prepare for this review, both the evaluator and the employee should obtain the NPA Report Card for the unit, if applicable, as well as reports that reference actual performance against targets set in the individual core requirements. Evaluators review employees' contributions and perform mid-year performance review discussions during which employees receive feed back concerning their performance. Evaluators should help employees focus on performance and

strategies to achieve desired outcomes. After evaluators perform mid-year performance reviews, they document discussion dates.

Are mid-year performance reviews required?

Evaluators are required to perform and document the dates that mid-year performance reviews were conducted for all eligible employees.

When are interim review ratings required?

On assignment for 90 to 179 days:

Employees detailed, reassigned, promoted or newly hired to eligible positions for more than 90 consecutive calendar days but less than 180 consecutive calendar days during the evaluation period must receive an interim narrative performance review of their performance against established individual core requirements from the evaluator of that position. The interim narrative performance review must be based on the employee's overall contributions toward targets and core requirements set during objective-setting.

On assignment for at least 180 days:

Employees detailed, reassigned, or promoted to eligible positions for 180 or more consecutive calendar days during the evaluation period must receive an interim numeric rating on individual core requirements from the evaluator of that position. The interim rating for these longer-term details consists of the individual core requirements rating provided by the evaluator and the end-of-year NPA composite summary, if applicable. Interim ratings for details over180 consecutive calendar days are pro-rated based on the number of consecutive calendar days an employee occupied the eligible position upon which the interim rating is based.

All interim numeric ratings must be completed by the evaluator within 30 days following the end of the employee's assignment to the eligible position.

Both interim numeric ratings and interim narrative performance reviews performed on the employee during the evaluation period must be taken into consideration at the end of the year. The employee is responsible for ensuring that his/her work assignment profile is kept up to date for the entire evaluation year, including the dates of assignments held for 90 days or more.

Headquarters and Headquarters-Related employees do not receive interim ratings.

Who has the responsibility of completing the interim rating?

The evaluator who manages the employee's day-to-day performance during the assignment is responsible for completing the interim performance rating.

Who performs the individual core requirements rating at the end of the evaluation period?

- The evaluator of an employee who occupied an eligible position, including detail assignments, for more than 275 consecutive calendar days during the evaluation period performs the individual core requirements rating.

- The evaluator of the employee's position of record performs the individual core requirements rating for an employee detailed, reassigned, or promoted to an eligible position for 90 or more consecutive calendar days but less than 276 consecutive calendar days during the evaluation period. The evaluator must also take into consideration any interim evaluation.

What is included in the overall performance rating?

The overall performance rating includes the end-of-year individual core requirements rating and the end-of-year NPA composite summary, if applicable. Any interim numeric ratings will be combined with end-of-year individual core requirements rating and NPA composite summary, if applicable, to complete the evaluation year.

What happens when an evaluator changes?

When an evaluator changes assignments during the evaluation period, the evaluator is required to perform one of the following tasks:

- An evaluator who manages or had leadership responsibility of the performance of an employee for less than 90 consecutive calendar days during the evaluation period is not required to perform an interim rating.

- An evaluator who manages or has leadership responsibility over the performance of an employee for 90 or more consecutive calendar days but less than 180 consecutive calendar days during the evaluation period must complete a narrative performance review.

- An evaluator who manages or has leadership responsibility over the performance of an employee for 180 or more consecutive calendar days during the evaluation period must complete an interim numeric rating consisting of a rating for each of the core requirements assigned.

Are end-of-year performance evaluations required?

Evaluators are required to perform and document the dates that end-of-year performance evaluations were conducted for all eligible employees.

When is an overall performance rating not performed?

Under certain conditions, it may not be possible to derive an overall performance rating of an employee's personal contributions. If an evaluator determines that such conditions apply to an employee, concurrence from the next higher level PCES executive and the

Area Human Resources Manager (or Corporate Personnel for Headquarters and Headquarters-Related Unit employees) must be obtained.

Conditions when an overall performance rating may not be possible include:

- Employees occupying eligible positions for less than 90 consecutive calendar days during the evaluation period, or

- Employees who are in a paid leave and/or leave without pay (LWOP) status for the entire evaluation period, except for active Military LWOP.

When can employees be excluded from PFP?

The evaluator may exclude an employee from PFP when documented action is pending or has been taken for conduct clearly unacceptable to the organization. Such determinations by the evaluator must be supported by appropriate documentation and have concurrence by the next higher level PCES executive and the Area Human Resources Manager (or Corporate Personnel for Headquarters and Headquarters- Related Unit employees).

When can evaluators discuss overall performance ratings?

Evaluators can discuss overall performance ratings after they have been notified through the Performance Evaluations System (PES) that all overall performance ratings are finalized. Following this notification, evaluators may begin discussions with employees on their overall performance ratings.

What happens during active Military LWOP?

Employees who are on LWOP because of active military service must be treated like they are in their current position as if they never left for military duty. An evaluator must rate an employee for all periods of active military LWOP, regardless of any work performed during the evaluation period.

- For employees who are on active military LWOP during the entire evaluation period or in a duty status for less than 90 consecutive calendar days during the evaluation period, the following occurs:
  - o A field or area employee receives an individual core requirements rating of 6 (contributor) and the end-of-year NPA composite summary of his/her unit to calculate the employee's overall performance rating.

  - o A headquarters or headquarters-related employee receives an overall performance rating that equals the organizational target rating given to the Executive Committee Member of that unit.

Employees who are in a duty status for 90 or more consecutive calendar days during the evaluation period receive a narrative performance review from their evaluator. All narrative performance reviews conducted during the evaluation period must be taken into consideration when deriving the employee's individual core requirements rating at the end of the evaluation period. Employees receive an overall performance rating

based on their individual core requirements rating and the end-of-year NPA composite summary, if applicable.

- Under no circumstance, can an employee's individual core requirements rating and/or overall performance rating be adjusted based on periods of active military LWOP.

What happens if an employee separates after the evaluation period?

Employees who separate for reasons other than cause or misconduct after the evaluation period and before the effective date of the pay action must be evaluated. Nature of Action (NOA) Codes that would not require evaluations include, but are not limited to, the following: 310: Resignation-Charges Pending; 328: Termination During Probation (Pre-appointment Condition); 329: Termination During Probation; or 346: Removal.

Can mitigating factors affect an overall performance rating?

Unusual or unplanned events or conditions beyond the employee's control may be taken into consideration towards achieving his/her overall performance rating. If an employee believes this to be the case, they must submit a request and documentation for consideration to the evaluator. The evaluator must document an employee's inability to achieve the targets that impact the overall performance rating and link the actual performance to the negative impact of the unusual or unplanned events or conditions. The evaluator must provide an alternative overall performance rating recommendation.

Such exceptions must be reviewed and concurred by next higher level PCES executive and the Area Human Resources Manager (or Corporate Personnel for Headquarters and Headquarters-Related Unit employees).

Is higher level concurrence required for overall performance ratings?

- **Field and Area EAS Employees**

   Overall performance ratings three or more ratings higher or lower than the employee's NPA composite summary rating must be reviewed and approved by the PCES cluster executive or Area Vice President, as appropriate.

   Core requirements ratings that are five or more higher or lower than the employee's NPA composite summary rating must be reviewed and approved by the PCES cluster executive or the Area Vice President, as appropriate.

   Exceptional or Non-Contributor overall performance ratings must be reviewed and approved by the Area Vice President.

- **Headquarters and Headquarters-Related EAS Employees**

   Overall performance ratings three or more ratings higher or lower than the organizational target rating must be reviewed and approved by the functional unit officer.

Exceptional or Non-Contributor overall performance ratings must be reviewed and approved by the functional unit officer.

What recourse is available for overall performance rating?

An employee, who believes the overall performance rating does not substantively reflect a fair assessment of his/her contribution to the work unit must document the concerns and rationale on the compensation rating recourse form and submit it to the evaluator. The employee then requests a follow-up discussion with the evaluator.

If no agreement on the overall performance rating is reached during this follow-up discussion, the employee may request a review by the next higher-level evaluator. The next higher level evaluator reviews the employee's documented concerns and rationale and makes a final determination. Normally, these reviews do not extend beyond the unit PCES manager.

What are the penalties for failure to conduct evaluations?

An evaluator who fails to perform all mid-year performance reviews, end-of-year performance evaluations, and core requirements ratings for all eligible employees will be subject to a reduction of 1 point within the 15-point matrix to his/her overall performance rating at the end of the evaluation period. Such reductions must be reviewed and approved by the Area Vice President (or the functional Vice President for Headquarters and Headquarters-Related Unit employees).

Attachment A
Position/Employee Categories Excluded From PFP

Position/Employee Group	Occupation Code
Bargaining-Unit Employees	All
Postal Rate Commission Positions	All
Contract Employees	All
Contract Physicians	0602-0001
Office of the Inspector General Positions	All
Administrative Judge	0935-4003
Administrative Law Judge	0935-4004
Associate Judicial Officer	0905-5030
Judicial Officer	0905-7008
Secretary USPS Board of Governors	0301-5258
Deputy Secretary to the BOG	0301-5563
Management Intern	0301-0237
Management Intern	0301-0238
Professional Specialist Intern	0301-0241
Professional Specialist Intern	0301-0242
Professional Specialist Intern	0301-0243
Professional Specialist Intern	0301-0244
Professional Specialist Intern	0301-0245
Professional Specialist Intern	0301-0246
Professional Specialist Intern	0301-0247
Professional Specialist Intern	0301-0248
Professional Specialist Trainee (PST)*	0301-5201
Professional Specialist Trainee	0301-5205
Professional Specialist Trainee	0301-5264
Professional Specialist Trainee	0301-5206
Professional Specialist Trainee	0301-5213
Professional Specialist Trainee	0301-5202
Professional Specialist Trainee	0301-5207
Professional Specialist Trainee	0301-5214
Professional Specialist Trainee	0301-5203
Professional Specialist Trainee	0301-5247
Program Director	1150-0002
Program Director	0343-0022
Program Director	0343-0023
Program Director	0343-0024
Program Director	0343-0025
Attorney (Temp)	0905-0037
Attorney (Honor Program)	0905-0038
Staff Counsel/Hearing Officer	0905-4038
Forensic Latent Print Analyst	0072-0001
Forensic Latent Print Analyst, Sr	0072-0002
Fingerprint Technician	0072-0003
Firearms & Toolmark Examiner	1397-0003
Firearms & Toolmark Examiner, Sr	1397-0004

Forensic Analyst	1320-0001
Forensic Analyst, Sr	1320-0002
Forensic Chemist	1320-0005
Forensic Computer Analyst	0334-0081
Forensic Computer Analyst, Senior	0334-0080
Forensic Document Examiner	1397-0002
Forensic Document Examiner, Sr	1397-0001
Forensic Photographer	1060-0002
Forensic Photographer, Sr (IS)	1060-0003
Laboratory Unit Manager	1320-0011
Assistant Laboratory Director	1320-0014
Laboratory Technician (IS)	2335-0019
Forensic Chemist, Sr	1320-0006
Assistant Inspector in Charge (Field)	2335-7032
Assistant Inspector in Charge (HQ)	2335-7041
Postal Inspector (A1)	2335-2002
Postal Inspector (B)	2335-3003
Postal Inspector (C)	2335-3006
Postal Inspector (D)	2335-3002
Postal Inspector Program Manager	2335-5018
Postal Inspector (Team Leader)	2335-3004
Associate Supervisor in Training, Customer Service	2310-0009
Associate Supervisor in Training, Distribution Operations	2315-0027
Postal Training Specialist	1712-5021
Postal Training Specialist	1712-5022

* PST's who were assigned to the PST program prior to October 1, 2004 will continue to be eligible for the PFP program.

FY 2006 PAY-FOR-PERFORMANCE (PFP)
EAS PAY RULES

Prepared September 30, 2005

A. Overall Performance Ratings

Eligible EAS employees are measured under a 15-point performance evaluation system with number and adjective ratings as follows.

Overall Performance Rating	
Adjective Rating	**Number Rating**
Exceptional Contributor (EC)	13, 14, 15
High Contributor (HC)	10, 11, 12
Contributor (C)	4 to 9
Non Contributor (NC)	1, 2, 3

Another way of displaying these numeric and adjective performance ratings is shown below.

NC	C		HC	EC
3	6	9	12	15
2	5	8	11	14
1	4	7	10	13

B. Performance Pay Program

Since employee performance will be measured under a 15-point rating system, different pay increases are established at each of the 15-point ratings. Below are the pay increases associated with the fifteen (15) performance ratings.

NC	C		HC	EC
(3) 0.0%	(6) 3.50%	(9) 6.50%	(12) 9.50%	(15) 12.00%
(2) 0.0%	(5) 3.00%	(8) 5.75%	(11) 8.75%	(14) 11.00%
(1) 0.0%	(4) 2.50%	(7) 5.00%	(10) 8.00%	(13) 10.25%

Note: All percentages are paid as salary increases if room within the salary structure. If amount limited by the salary structure, balance of amount will be converted to a lump sum payment.

All PFP pay actions will be calculated automatically based on salary information available from the corporate payroll system and performance ratings provided under the web-based Performance Evaluation System. Deadlines will be published at the end of the fiscal year for completing the web-based Performance Evaluation System.

C. Eligibility

1. Career non-bargaining unit employees who are in an EAS position or A-E postmaster position on the last pay day of the fiscal year (September 30, 2006) are covered by the FY 2006 EAS Pay-for-Performance (PFP) program.

2. Employees who were on the rolls in good standing as of September 30, 2006 and separated before the effective date of the payment (January 6, 2007) will receive the entire PFP payment in the form of a lump sum payment. Separated employees in good standing include retirements, voluntary separations, estates of deceased

employees, and other separation NOAs except those listed below. Separated employees rated "Non Contributor" or "Not Rated" or with separation NOA codes 310, 328, 329, or 346, will not be eligible for any PFP payment.

Separation NOA Codes Resulting in No PFP Payment	
310	Resignation - Charges Pending
328	Termination During Probation (Pre-appointment Condition)
329	Termination During Probation
346	Removal

Eligible employees who have separated before the effective date of the payment will have their PFP check sent to their employing office.

3. Certain EAS employees are not eligible for participation in the PFP program and will be bypassed by PFP processing programs:

   - Office of Inspector General.
   - Postal Rate Commission.
   - Judicial Office employees. However, Judicial Office employees not covered by specific federal salary statutes will be eligible for PFP.
   - Postal inspectors and certain forensics employees. However, forensic employees not in the ISLE schedule will be eligible for PFP.
   - Contract employees (e.g., contract doctors)
   - Employees of certain structured development programs including Management Interns, Professional Specialist Interns, and Professional Specialist Trainees. However, employees in Career Ladder programs and Management Progression Program for MDOs will be eligible for PFP. Professional Specialist Trainees who were assigned to the PST program prior to October 1, 2004 will continue to be eligible for the Pay-For-Performance program.

4. Eligibility is based on the employee's "position of record" as of September 30, 2006. An employee detailed to a higher level eligible EAS position from a lower level eligible EAS position will only receive the PFP payment based on the lower level position. An employee detailed to an eligible EAS position from an ineligible position is not eligible, even if that person had a Form 50 processed.

5. Bargaining unit employees detailed to a non-bargaining unit position (e.g., 204b) are not eligible for the PFP payment.

D. Calculations and Effective Date

1. EAS PFP payments will be calculated on the employee's basic salary as of September 30, 2006 applied within the parameters of the salary schedules in effect on January 6, 2007 (PP 2-07). On January 6, 2007, the salary schedules will be updated before the pay actions are calculated in order to provide greater room within the grade range for salary increases.

2. FY 2006 EAS PFP payments are effective January 6, 2007 (PP 2-07) and will appear in the employee's regular check on January 26, 2007. Eligible employees who have separated before the effective date of the payment will have their PFP check sent to their employing office.

3. Full-time employees will have the PFP payment paid in the form of base salary increases if there is room within the salary grade range to provide a salary increase. Any PFP payments that would put an employee's salary over the salary maximum will be converted to a lump sum payment.

4. Part-time employees (primarily A-E postmasters) will have the PFP percentage applied to their hourly rate of pay if there is room within the grade range to provide a base rate increase. Any PFP percentage amount that would put an employee's base rate above the maximum will be converted to a lump sum payment. Lump sum payments

for hourly rated employees are calculated by multiplying the September 30, 2006 hourly rate <u>times</u> the balance of the PFP percentage payment not already applied to the base rate <u>times</u> the part-time employees' limited tour hours.

5. Employees who have had a change in EAS grades during the period after September 30, 2006 and before the effective date of payment (January 6, 2007), will <u>not</u> have a change in the calculation of their PFP award, EXCEPT if the new grade maximum is not large enough to accommodate the new salary. In that case, the salary increase will be reduced to fit within the employee's new grade maximum, and the lump sum will be increased by the same amount.

6. Employees who have been reassigned during the period after September 30, 2006 and before the effective date of payment (January 6, 2007) from an eligible PFP position to a non-eligible position (e.g., structured development or bargaining unit position) will have the full PFP award paid as a lump sum.

7. Employees who have converted from full-time status to part-time status or vice versa during the fiscal year, or before the effective date of the payment, will have the PFP payment calculated on their status as of September 30, 2006. If the change in full-time or part-time status is accompanied with a change in grade level, rule #D5 above also applies.

8. EAS employees promoted into PCES executive positions on or before September 30, 2006 will be administered under the PCES pay program. EAS employees promoted into PCES executive positions during the period after September 30, 2006 and before the effective date of payment (January 6, 2007), will receive the entire EAS PFP payment in the form of a lump sum payment.

9. PFP payments for employees with a "saved-grade" designation will be calculated on the saved grade, not the grade of the position to which assigned.

10. PFP payments for employees with all other rate retention policies (not saved-grade) are eligible for a lump sum payment based on the employee's salary.

11. Employees newly eligible to EAS during FY 2006 (e.g., spent time in a bargaining unit position) will have the PFP payment prorated to include only the number of pay periods in the eligible EAS status. The evaluator should not reduce a newly eligible employee's rating for working a partial year; the system will automatically prorate the partial year based on the number of pay periods worked in the EAS position.

12. New hires into EAS positions during FY 2006 will have the PFP payment prorated to include only the number of pay periods with the Postal Service. The evaluator should not reduce a new hire's rating for working a partial year, the system will automatically prorate the partial year based on the number of pay periods worked.

13. Full-time EAS employees who were in a Leave Without Pay (LWOP) status for any reason up to 80 hours during FY 2006 pay periods will receive a full PFP payment. Employees in a LWOP status for more than 80 hours during FY 2006 pay periods, except those on Military LWOP (TACS Code 44), will receive a pro rata reduction of the award based on the number of non-Military LWOP hours in excess of 80 hours during FY 2006 pay periods. Except for those on Military LWOP, employees on LWOP for the entire fiscal year are not eligible for a PFP payment. Part-time EAS employees will have a smaller LWOP threshold level than 80 hours based on the ratio of their scheduled part-time annual hours to 2080.

Performance Evaluation System

Manage Profile

Quick-Start Guide for Employees

Includes:
- *Manage Profile, Beginning of Evaluation Period*
- *Manage Profile, End-of-Position Process*

Version 4, October 2005

Table of Contents

What Is "Manage Profile"?

The "Manage Profile" module enables users to record their position histories. It enables evaluators to review and confirm this information.

The "Manage Profile" module has been modified to combine the "Manage Profile" and "Change Management" modules of past years. Now, users will be able to edit all of their position history from one module rather than two different areas of the system.

The first time you access the FY 2006 module within the Performance Evaluation System (PES), you will automatically be directed to "Manage Profile." Before taking any other FY 2006 actions, you must review the profile information the system has on file for you, add to or edit it as necessary, and confirm that it is correct and complete.

If your permanent position changes during the course of the evaluation period—or if you take on a detail assignment—you must return to "Manage Profile" and update your record with that information.

How This Guide Is Organized

This guide is organized into two major sections:
- **Managing Your Profile:** This section describes the actions you will be required to take to review and edit (as necessary) your profile information, either at the beginning of the evaluation or at the time you join the PFP program. All employees must complete these actions. (Section begins on Page 5.)
- **Manage Profile, End of Position:** This section describes the actions you will have to take if you undergo changes to your PFP position during the evaluation period. This section only applies to employees who experience one of these position changes. (Section begins on Page 8)

Before You Begin

You should have several pieces of information on hand before you go into the system.

Your login information: You must know which logon and password you can use to access the system:
- **EAS employees:** Log in with your Employee Identification Number (EID) and USPS PIN. Your EID is the unique, 8-digit number printed on your earnings statement, and your USPS PIN is the same PIN you use for PostalEase.
- **PCES employees:** Log in with either your EID and USPS PIN or your ACE logon and password.

Note: An employee who was promoted to a PCES-level position after the start of FY 2004 must log into PES using his or her EID and USPS PIN.

Your Pay-for-Performance (PFP) designation: You must know which of the following categories you fall under:
- ACS Attorney
- Area EAS
- EAS Postmaster (including A-E)
- Field EAS (District and Facility EAS)
- EEO Field Operations
- Field Executive (including PCES Postmasters)
- HQ/HQ-Related EAS
- HQ/HQ-Related Executive (includes Sales Executives)
- Postal Police Officer (PPO) Supervisor
- Sales EAS

Before You Begin, cont'd.

Your Unit or Postmaster level*: You must know which unit you work in:

- AMC/AMF
- Area DNO
- Area DPS
- Area Finance
- Area HR
- Area Marketing
- Area MIP
- Area MOS
- Area VP Office
- BMC/BMF

- District (including Annapolis DDC)
- EAS A-E Post Office
- EAS 16-11 Post Office
- EAS 20-18 Post Office
- EAS 26-21 Post Office
- HASP
- ISC/ISF
- PCES Post Office
- Plant (including DDCs, except Annapolis)
- PMPC
- REC

Your position type*: You must know your position type:

- PCES (including PCES Postmasters)
- EAS Manager
- EAS Supervisor/Staff
- EAS Postmaster (including A-E)

* *HQ/HQ-Related Executives and EAS, as well as Sales EAS, are not required to provide this information.*

Who your evaluator is: You must identify who evaluates your performance in your position(s).

You must provide this information for both your permanent position (as defined by PS Form 50) and any detail assignment that you currently hold (and that is recognized by the PFP program). If you are on detail, you will also need to provide your detail finance number and the start and end dates of your detail.

Access the System

You can access PES in either of two ways:

- type **http://performance.usps.gov** into your web browser's URL line
  — or —
- click on **Pay for Performance** on the main page of **Blue**, then click on the link for **Performance Evaluation System**.

At the logon screen, do the following:
- **EAS employees:** Log in with your EID and USPS PIN. Your EID is the unique, 8-digit number printed on your earnings statement, and your USPS PIN is the same PIN you use for PostalEase.
- **PCES employees:** Log in with **either** your EID and USPS PIN **or** your ACE logon and password to access PES.

Note: An employee who was promoted to a PCES-level position after the start of FY 2004 must log into PES using his or her EID and USPS PIN.

Start of Section 1: Managing Your Profile

The following instructions and screens walk employees through the process to update their position histories. This process includes updates to permanent as well as detail positions. All employees must complete this process, either at the beginning of the evaluation period or at the point during the year when they begin to participate in the PFP program.

Access the Manage Profile Option

After logging in, you will see the fiscal year selection screen.
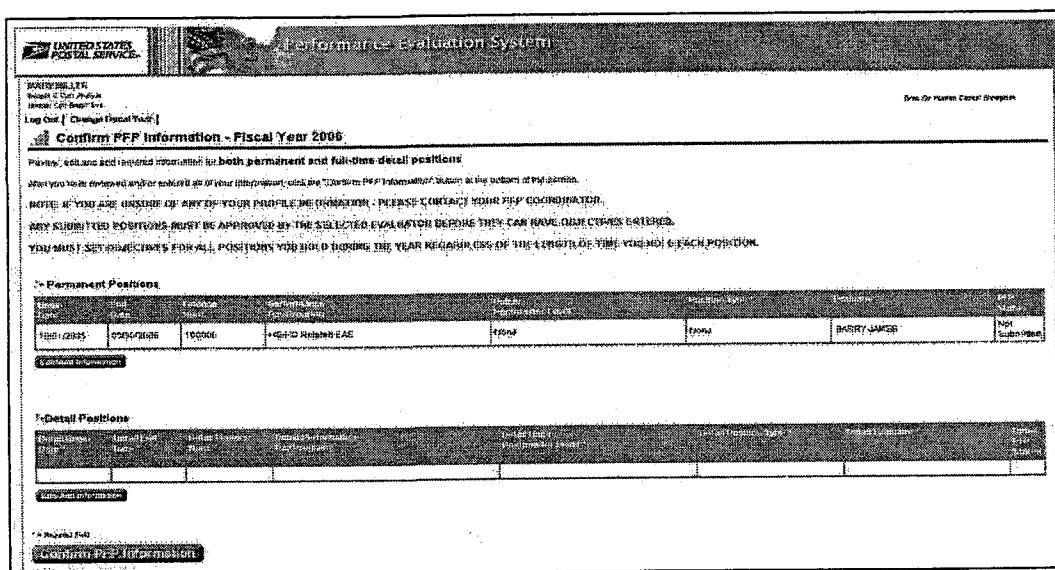
To access "Manage Profile," click the link for **FY 2006**.

- If you have not yet completed the Manage Profile process, you will automatically be directed to the "Manage Profile" page. Before using PES for FY 2006 actions, you must complete the "Manage Profile" process outlined in the rest of this section of the guide.

- If you have already completed the Manage Profile process, you will be directed to the PES home page. To check or update your account information, click **Manage Profile**.

Part 1 – Review Permanent Position Information

Begin the "Manage Profile" process by reviewing the permanent position information at the top of the screen.

1. If the information displayed under the **Permanent Positions** heading is correct, skip the rest of this section. Continue to **Part 2, Review Detail Assignment Information**, on Page 8 of this guide.
2. If the information displayed under the **Permanent Positions** heading is not correct, click **Edit/Add Information**. The fields will open for editing.

3. Make selections from three drop-down boxes.
   - **Performance Pay Program** — Select the pay package you are in. (If you choose either of the HQ pay program options from this menu, you will **not** be required to complete the remaining drop-down fields on this screen.)
   - **Unit or Postmaster Level**
   - **Position Type**
4. If you must update the evaluator for a position, click **Change**. (Otherwise, skip ahead to Step 8 on Page 7.)

If you clicked the **Change** button, the evaluator search pop-up screen will display.

5. At a minimum, enter the first few letters of your evaluator's **Last Name**. Narrow the search by providing information in the **First Name** field, and/or clicking the **HQ/HQ Related** check box, or making selections from the **Area** and **District** drop-down menus.
6. Click **Search** to complete the request. A list of individuals matching the criteria you submitted displays.

7. Click on the name of the individual who is your evaluator. The pop-up window will disappear, and that evaluator's name will be populated into the main screen from which permanent position information is edited.

8. When all information on the edit permanent position page is correct, click **Save PFP Information**.

Part 2 – Review Detail Assignment Information

Continue the "Manage Profile" process by reviewing the detail assignment information at the bottom of the screen.

1. If the information displayed under the **Detail Positions** heading is correct, skip the rest of this section. Continue to **Part 3, Save Profile Information,** on Page 10 of this guide.
2. If the information displayed under the **Detail Positions** heading is not correct or if it is necessary to add a new detail position, click **Edit/Add Information.** The following screen will display.

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3. If you are adding a new detail assignment, begin by clicking **Add Detail Position**.
4. For the detail that you are adding (or editing), review and update the following fields:
   - **Detail Begin Date**
   - **Detail End Date** — Enter the date you believe your detail assignment will end. You can always return to "Manage Profile" at any time to update this information.
   - **Detail Finance Number**
   - **Detail Performance Pay Program** — Select the pay package you are in. (If you choose either of the HQ pay program options from this menu, you will not be required to complete the remaining drop-down fields on this screen.)
   - **Detail Unit or Postmaster Level**
   - **Detail Position Type**
5. Select an evaluator for the detail assignment by clicking **Change**. (Follow Steps 5 through 7 on Page 6 to complete this process.)
6. When all information on the edit detail assignment page is correct, click **Save PFP Information**.

Part 3 – Save Profile Information

After you have reviewed (and edited, if necessary) your permanent position and detail assignment information, you can save your profile information.

1. When both Parts 1 and 2 have been completed, click **Confirm PFP Information**.
2. If you made changes to any information on this page—either with regard to a permanent position or a detail assignment—your changes must be reviewed and approved by the appropriate evaluator before you will be permitted to take any additional actions in the system.

Start of Section 2: Manage Profile, End of Position

The "Manage Profile" module within PES includes features that support employees who have changed PFP positions or whose evaluators have changed since the beginning of the evaluation period. These features enable employees to change their objectives (when necessary) and enable evaluators to react and provide interim narrative performance reviews or interim numeric ratings, as appropriate.

During the year, an employee may or may not encounter such a situation. As a result, the actions outlined in this section of the guide are **not** a required part of the process for every employee. They should only be used as needed and as described in this guide.

There are several situations in which **PES will automatically prompt** employees to review their objectives and/or profiles:
- The system receives indication that an employee's finance number and/or occupation code has changed.
- The system recognizes that the end date of an employee's detail assignment has passed.
- The system recognizes that the individual identified as an employee's evaluator has been flagged as inactive.

Employees must respond to these automatic prompts before being permitted to access other areas of the system.

There are also situations in which an employee will need to initiate the change process **without the presence of a system prompt:**
- The employee needs to update his profile to either change his designated evaluator or to enter information about a detail assignment.
- The employee needs to submit a request—outside of the situations described above—to change his objectives.

Please refer to the PFP Program Administrative Rules and specific policy guidance regarding objective changes for additional information on the policies guiding these processes.

System-Prompted Change: Finance No. or Occupation Code

Changes to employee finance numbers and occupation codes are identified each time PES receives new data from the Complement Management System (CMS). If PES recognizes such a change with your record, you will receive an e-mail prompting you to access the system and review the new data that has been received.

The following screens illustrate the process that an employee would go through if PES detected that he has **one** potential change to his record.

1. The top grid on the screen displays your current position. No action is needed here.
2. The bottom grid on the screen describes the new data that the system has received and the potential change that has been identified. *
3. At the right of this bottom grid, use buttons to indicate (either **Yes** or **No**) whether this change means that your NPA Unit has changed. **
4. Click **Submit**. ***
   - If you answered **No**, the process is complete. You can now access other areas of the system.
   - If you answered **Yes**, you will be transferred to a page from which you can manage your profile information. Continue to Step 5.

   * *PES may receive indication that your record may have undergone **more than one change**. If that is the case, you will see more than one line of information—and will be prompted with more than one question—in this grid.*

   ** *If PES recognizes that your **occupation code** has changed, the system will ask you whether you need to change your objectives.*

   *** *If you answer **Yes** to one (or more) question(s) on this screen, you will continue on to Step 5. If you answer **No** to the question (or all the questions) on this screen, you are indicating that none of the issues identified by PES will affect your objectives. The process is complete for you.*

5. If you indicated **Yes** to any question on the previous page, the system will then prompt you to identify which permanent position your existing profile information should be associated with.

6. Click **View Objectives** to view your existing permanent position objectives in a pop-up window. (You will **not** have this option if you have only entered objectives for a detail assignment.)

7. Use a button in the left column of the grid to indicate which permanent position your existing profile information should be associated with.

8. Click **Submit**.

9. Click the **Edit/Add Information** button under the top grid on the screen. This will allow you to record information for the new PFP position (or possibly multiple PFP positions) you have taken on. (If you need specific guidance on how to complete this portion of the process, please refer to Part 1 of this guide.)

10. After recording that information, you will return to this screen. Click the green **Confirm PFP Information** button.

At this point, you will need to wait for the individual(s) you identified as your new evaluator(s) to review and approve your reporting selection(s).

When your new evaluator confirms your profile, you will receive another e-mail from the system prompting you to log in and enter objectives for your new position. At that time, you will also be prompted to enter accomplishments for your previous position (if applicable).

After logging in to the system again, you will see the following screen. (The **Enter Accomplishments for Old Objectives** button only appears if you held your previous position for 90 or more days.)

11. Click **Enter Objectives** to access the screen from which you enter objectives for your new position.

12. In the left column of the grid, use a button to indicate the position you would like to enter objectives for.
13. Then click **Create/Edit Objectives**. This will allow you to enter objectives for your new PFP position. (If you need specific guidance on how to complete this portion of the process, please refer to the Objective-Setting Quick-Start Guide.)

When you have completed objectives for your new position and submitted them to your evaluator, you will do one of the following:

- **If you were in your previous position for fewer than 90 days,** you do **not** have to enter accomplishments for your previous position. At this time, you must simply wait for the individual you identified as your new evaluator to review and confirm your new objectives. The remainder of this section does **not** apply to you.
- **If you were in your previous position for 90 or more days,** you must enter accomplishments for your previous position and you will be returned to the screen from which you do so. Continue to Step 14.

14. Click **Enter Accomplishments for Old Objectives.**

15. In the left column of the grid, use a button to indicate which previous position you would like to enter accomplishments for.
16. Click **Enter Accomplishments.** This will allow you to record accomplishments for your previous PFP position. (After these accomplishments are reviewed and commented on by your previous evaluator, they will be available to you in read-only format.)

17. For each objective you had set for your previous position, you must supply **End-of-Position Accomplishments**.
18. At the bottom of this screen, click **Submit to Evaluator/Executive or VP** to submit this information to your previous evaluator for review.
    - If you held this position for 90 to 179 days, your previous evaluator will provide an interim narrative performance review of your performance.
    - If you held this position for 180 to 275 days, your evaluator will provide an interim numeric rating of your performance.

At this point, you must wait for the individual who you identified as your new evaluator to review and confirm your new objectives. You will **not** be able to access other areas of the system until this is complete.

System Prompted Change: Detail End Date Passes

You will receive an e-mail from PES when the system recognizes that the end date that you have supplied for a detail assignment has passed. When you access the system, you will be asked whether you need to extend this end date.

1. In the bottom grid on the screen, use buttons to indicate (either **Yes** or **No**) whether you need to extend the end date of your detail assignment.
   - If answered **No**, click **Submit** and the process is complete.
   - If you answered **Yes**, click **Submit** and the screen will refresh.

2. Click the **Edit/Add Information** button under the Detail Positions grid.

3. Update the **Detail End Date** field.
4. Click **Save PFP Information**.

5. Click **Confirm PFP Information** to submit this new end date to the evaluator of your detail assignment for review and approval.

System-Prompted Change: Evaluator Designated as "Inactive"

If PES recognizes that your evaluator's profile has been designated as "inactive" (the result of separation from the USPS, retirement, etc.), the system will send you an e-mail prompting you to access the system and identify your new evaluator.

1. An "N/A" notation will display where your previous evaluator's name had displayed.
2. Click the **Edit/Add Information** button associated with the position that this evaluator had been associated with.

3. Click **Change** to open a pop-up window from which you can choose a new evaluator. (If you need specific guidance on how to complete this portion of the process, please refer to Part 1 of this guide.)
4. After selecting a new evaluator, click **Save PFP Information**.
5. You will then be returned to the first screen in this section. Click the green **Confirm PFP Information** button on that screen.
6. The individual you have identified as your new evaluator will review and approve your reporting selection. Until that is complete, you will **not** be permitted to access other areas of the system.

Employee-Initiated Change: Employee Changes Profile

During the course of the year, you are permitted to update your profile information to reflect:
- that your evaluator has changed
- that you have taken on a detail assignment.

Begin this process by logging in to PES and accessing the main menu for FY 2006.

1. Click **Manage Your Profile**.

2. At the bottom of the screen, click **View PFP Information**.

Employee-Initiated Change: Employee Changes Profile, cont'd.

3. Do one of the following:
   - If you need to update the evaluator of your current permanent position, click the **Edit/Add Information** button under the first grid on the page.
   - If you need to enter or edit information regarding a detail assignment, click the **Edit/Add Information** button under the second grid on the page.
4. This will allow you to edit/add information as necessary.
5. After updating and saving your new profile information, you will submit it to your evaluator for review. He or she must approve these changes before you can take any other actions in the system.

Employee-Initiated Change: Employee Changes Objectives

Situations may arise in which you take on a new PFP position, but in which your position change is not identified by the CMS data feed into PES. If this is the case, you must submit a request to your current evaluator explaining why your objectives should be changed.

Begin this process by logging in to PES and accessing the main menu for FY 2006.

1. Place your cursor over **Objective Setting Process** so that the pop-up menu appears.
2. Click **Change Approved Objectives**.

3. Explain why (in up to 500 characters) you feel that your position change requires a change in objectives.
4. Click **Submit Request**.
5. Your information will be sent to your current evaluator for review. You will receive an e-mail documenting his response:
   - If your evaluator **denies** the request, you will **not** be permitted to change your objectives. The process ends.
   - If your evaluator **approves** the request, you will be prompted to access the system and update your objectives. Continue to the next step.

6. The next time you log in to the system, you will automatically be directed to this screen. From here, you must both enter new objectives and enter accomplishments for your previous objectives (if you held that position for 90 or more days).

7. Click **Enter Objectives**. (For details on how to complete this process, see Steps 11 through 13 in the "System-Prompted Change: Finance Number or Occupation Code" section above.)

8. When that process is complete, you will return to this screen.

9. If you held your previous position for 90 or more days, you will see the **Enter Accomplishments for Old Objectives** button. Click this button. (For details on how to complete this process, Steps 14 through 18 in the "System-Prompted Change: Finance Number or Occupation Code" section above.)

For Additional Information

- The most up-to-date version of PES help — including any updates to this quick-start guide — is available on the Pay-for-Performance (PFP) website: http://blue.usps.gov/hrisp/ser/pfp/welcome.htm

- General information regarding the Pay-for-Performance program is also available on the PFP website.

- Direct specific questions regarding PES and the PFP program to your PFP coordinator.

Performance Evaluation System

Manage Profile

Quick-Start Guide for Evaluators

Includes:
- *Manage Profile, Beginning of Evaluation Period*
- *Manage Profile, End-of-Position Process*

Version 4, October 2005

Table of Contents

What Is "Manage Profile"?

The "Manage Profile" module is where users record their position histories. It enables evaluators to review and confirm this information.

Evaluators use the "Manage Profile" module to review and approve changes to an employee's profile. This might either be changes at the beginning or during of the evaluation period. If an employee changes his or her evaluator during the evaluation period, the old evaluator may have to perform and end-of-position evaluation of the employee. Please see Section 2 for more information.

How This Guide Is Organized

This guide is organized into two major sections:
- **Reviewing Basic Profile Information:** This section describes the actions you must take to review and approve employees' basic profile information. For FY2006, you will only be required to review and approve profile information for existing employees who indicate a change in their information as they begin the FY 2006 process. As new employees become eligible for the program later in the evaluation period, you will then be required to complete this process for them, as well. (Section begins on Page 4)
- **Reviewing End-of-Position Information:** This section describes the actions you must take when one of the employees you evaluate the performance of undergoes a PFP position change during the evaluation period. You will only be prompted to take these actions if one of these situations occurs. (Section begins on Page 5)

Before You Begin

You should have several pieces of information on hand before you go into the system.

Your login information: You must know which logon and password you can use to access the system:
- EAS employees: Log in with your Employee Identification Number (EID) and USPS PIN. Your EID is the unique, 8-digit number printed on your earnings statement, and your USPS PIN is the same PIN you use for PostalEase.
- PCES employees: Log in with either your EID and USPS PIN or your ACE logon and password.

Note: An employee who was promoted to a PCES-level position after the start of FY 2004 must log into PES using his or her EID and USPS PIN.

Access the System

You can access PES in either of two ways:
- type **http://performance.usps.gov** into your web browser's URL line
  — or —
- click on **Pay for Performance** on the main page of **Blue**, then click on the link for **Performance Evaluation System**.

At the logon screen, do the following:
- **EAS employees:** Log in with your EID and USPS PIN. Your EID is the unique, 8-digit number printed on your earnings statement, and your USPS PIN is the same PIN you use for PostalEase.
- **PCES employees:** Log in with **either** your EID and USPS PIN **or** your ACE logon and password to access PES.

Note: An employee who was promoted to a PCES-level position after the start of FY 2004 must log into PES using his or her EID and USPS PIN.

Start of Section 1: Reviewing Basic Profile Information

When an employee uses "Manage Profile" to identify you as his or her evaluator, you will receive an email indicating that you have a PES reporting selection awaiting your action. That email will prompt you to log in to the system, and you will automatically be directed to the "Confirm Subordinate PFP Notice" screen.

Remember: You will be prompted to review reporting selections from both the employees who select you as the evaluator of their permanent positions **and** the employees who select you as the evaluator of their detail assignments.

You do **not** need to address all pending requests during one session; you can log in at a later time to continue the review process. Note, though, that you are **not** able to access other areas of PES until you address all reporting selections that are awaiting your action.

1. Review each request. Do one of the following:
   - If you approve the request as submitted, click the **Accept** button.
   - If you need to make a change to the request before approving it, click the **Edit/Add Information** button. This will allow you to edit the information before approving the employee's request.
   - If you are **not** the employee's evaluator and need to return the request to the employee, click the **Return** button. If you indicate **Return**, you must complete the **Comments** field for that request and provide an explanation of why you are returning the employee's selection.
2. After making your selections, click **Submit**. (All employees whose requests you completed will receive email notices of what action you have taken. Individuals whose requests are returned will be prompted to re-enter PES and update the "Select Your Evaluator" portion of "Manage Profile" based on your reason for returning the request.)

Start of Section 2: Reviewing End-of-Position Information

PES includes features that support employees who have changed PFP positions or whose evaluators have changed since the beginning of the evaluation period. These features enable employees to change their objectives (when necessary) and enable evaluators to react and provide interim narrative performance reviews or interim numeric ratings, as appropriate.

During the year, an employee may or may not encounter such a situation. As a result, the actions outlined in this document are **not** a required part of the process for every employee. They should only be used as needed and as described in this guide.

There are several situations in which PES will **automatically** prompt employees to take action, and to which evaluators will need to respond:

- The system receives indication that an employee's finance number and/or occupation code has changed. The employee indicates that the change signifies that he has changed PFP positions.
- The system recognizes that the end date of an employee's detail assignment has passed. The employee indicates that that date should be extended.
- The system recognizes that the individual identified as an employee's evaluator has been flagged as inactive. The employee identifies a new evaluator.

There are also situations in which an employee may initiate the change process **without** the presence of a system prompt. Evaluators will also need to respond to these situations:

- The employee updates his profile to either change his designated evaluator or to enter information about a detail assignment.
- The employee submits a request—outside of the situations described in the previous paragraph—to change his objectives.

Please refer to the PFP Program Administrative Rules and specific policy guidance regarding objective changes for additional information on the policies guiding these processes.

System-Prompted Actions: Overview

Changes to employee finance numbers and occupation codes are identified each time PES receives new data from the Complement Management System (CMS). If an employee confirms that such a change signifies a change in their PFP position, the following evaluator actions are required:

- The individual that the employee identifies as his **new evaluator** must confirm that reporting selection. He or she must also review and approve the employee's new objectives.
- The employee's **previous evaluator** must review and provide comments on the employee's accomplishments for that position, if the employee held that position for 90 or more days. (This comment process is optional for evaluators of HQ and HQ-related employees. See note on page 3 for additional detail.)

System-prompted actions that you may be required to take are outlined in the following sections.

System-Prompted Actions: Actions for New Evaluators

If an employee identifies you as his new evaluator, you will receive an e-mail from PES prompting you to access the system. Log into PES.

1. You are automatically directed to the screen listing the reporting selection that is awaiting your review. Review the information the employee has submitted.
2. If the employee **does not** report to you, click the **Return** button and provide **Comments**. Then click **Submit**. This will return the information to the employee for revision and re-submission. This completes the process.
3. If the employee **does** report to you, do one of the following:
   - If all the information he has submitted is **correct**, click the **Accept/Confirm** button, then click **Submit**.
   - If any of the information is **incorrect**, click the button to the left of the employee's name and click **Edit/Add Information**. After you update the incorrect information, you will be returned to this screen. Click the **Accept/Confirm** button, then click **Submit**.

After you confirm this information, the employee will receive another e-mail from the system prompting him to log in and enter objectives for his new position. (The employee will also be prompted to enter accomplishments for his previous position if he was in that position for 90 or more days. His previous evaluator will be contacted about that information.)

You will receive an e-mail from PES when the employee has entered his new objectives. Log in again and access the current fiscal year.

4. Place your cursor over **Objective Setting Process** so that the pop-up menu appears.
5. Click **Approve or Return Core Requirements**.

6. Depending on the pay package of the employee whose information you are reviewing, click either **Approve Executive Objectives** or **Approve EAS Objectives**.

7. Click **Approve Core Requirements** next to the employee for whom you must review new information.
8. Review the objectives the employee has provided for his new position. (If you need specific guidance on how to complete this portion of the process, please refer to <u>Evaluators: Review and Approve Objectives Quick-Start Guide</u>.)

System-Prompted Actions: Actions for Previous Evaluators

If you evaluated the performance of an employee who has changed PFP positions, that employee will submit accomplishments for his previous position to you for review.* You will need to review those accomplishments and provide an interim narrative performance review or an interim numeric rating, as follows:

- Employees who held a position for 90 to 179 days are given interim narrative performance reviews. **
- Employees who held a position for 180 to 275 days are given interim numeric ratings. **

* If you managed an employee for fewer than 90 days, his objectives are simply inactivated within the system. You are **not** required to provide an interim narrative performance review or give an interim numeric rating for such an employee.

** If you manage an HQ or HQ-related employee for 90 to 275 days and he then moves then moves into another PFP position, you can provide an overall comment on his performance in that position. This is an optional field that you can complete and that can be viewed by the employee's new evaluator. You do not, though, assign interim narrative performance reviews and/or interim numeric ratings to HQ or HQ-related employees.

If you must review end-of-position accomplishments for an employee, you will receive an e-mail from PES prompting you to access the system. Log in and access the main menu for the current fiscal year.
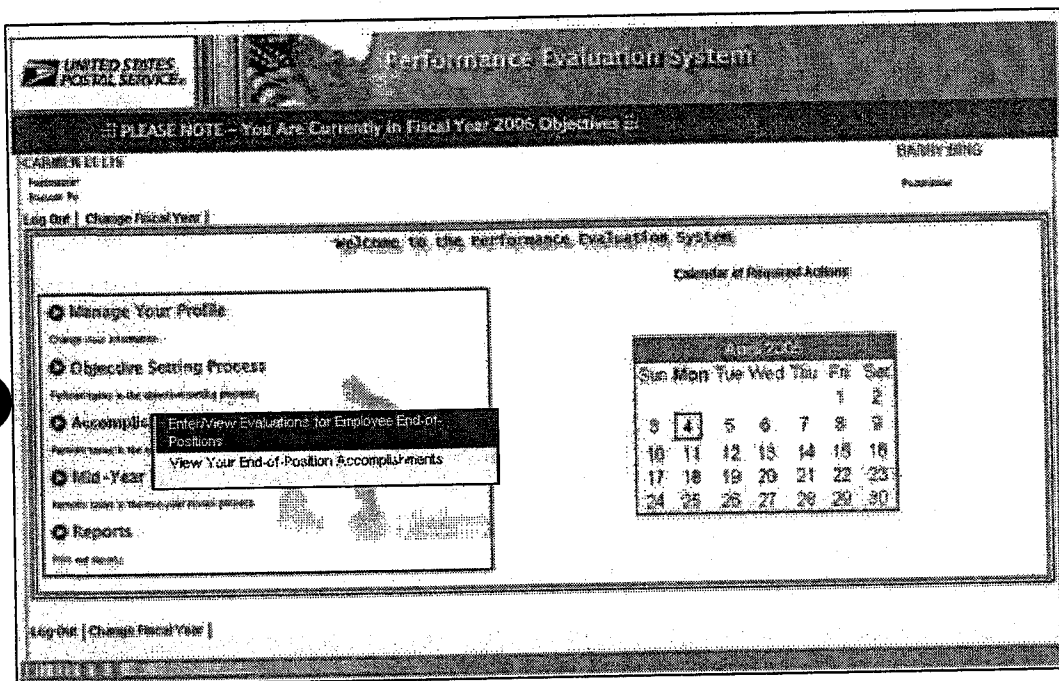
1. Place your cursor over **Accomplishments/End-of-Position Process** so that the pop-up menu appears.
2. Click **Enter/View Evaluations for Employee End-of-Positions**.

3. Depending on the pay package of the employee whose information you are reviewing, click either **Perform Executive Evaluations** or **Perform EAS Evaluations**.

4. Click the **Enter Evaluation** button next to the employee for whom you must provide an evaluation.

5. Enter **End-of-Position Evaluator Comments** for each of the employee's objectives.
6. The screen will allow you to do one of the following:
    - If you have managed the employee for 90 to 179 days, you will be prompted to enter an interim narrative performance review for him. *
    - If you have managed the employee for 180 to 275 days, you will be prompted to provide an interim numeric rating of his performance. *
7. When all the required fields are complete, click **Save Completed On-Line Review** at the bottom of the page.

* See note on previous page about HQ and HQ-related employees.

System-Prompted Actions: Detail End Date Passes

An employee receives an e-mail from PES when the system recognizes that the end date that he has supplied for a detail assignment has passed. If the employee indicates that that end date should be extended, you as the evaluator of that employee's detail assignment will be prompted to confirm that change.

Begin this process by logging in to PES and accessing the main menu for FY 2006.

1. You will automatically be directed to a screen summarizing the employee's request.
2. If the employee's detail has in fact ended and you are no longer his evaluator, click the **Return** button and provide **Comments**. Then click **Submit**. This will return the information to the employee and provide him with your comments. This completes the process.
3. If the employee is still on a detail assignment under your supervision, do one of the following:
   - If all the information he has submitted is correct, click the **Accept/Confirm** button, then click **Submit**. Continue to Step 4.
   - If any of the information is incorrect, click the button to the left of the employee's name and click **Edit/Add Information**. After you update the incorrect information, you will be returned to this screen. Click the **Accept/Confirm** button, then click **Submit**. Continue to Step 4.

The employee will receive notification of your action.

System-Prompted Actions: Evaluator Designated as "Inactive"

If PES recognizes that an evaluator's profile has been designated as "inactive" (the result of separation from the USPS, retirement, etc.), the system will send all employees who had designated that individual as their evaluator an e-mail prompting them to access the system and identify a new evaluator.

If you are selected as an employee's new evaluator, you will be prompted to access the system and confirm any new reporting selections awaiting your review.

Log in to PES and access the current fiscal year. Then, proceed by following Steps 1 through 3 in the "System-Prompted Actions: Actions for New Evaluators" section of this guide.

Manage Profile Quick-Start Guide for Evaluators

Employee-Initiated Actions: Overview

There are also situations in which an employee may initiate the change process **without** the presence of a system prompt. Evaluators will also need to respond to these situations:

- The employee updates his profile to either change his designated evaluator or to enter information about a detail assignment.
- The employee submits a request—outside of the situations described in the previous sections of this guide—to change his objectives.

Employee-initiated actions that you may be required to take are outlined in the following sections.

Employee-Initiated Actions: Employee Changes Profile

During the course of the year, employees are permitted to update their profile information to reflect:

- that their evaluators have changed
- that they have taken on detail assignments.

If an employee takes either of these actions and indicates that you are either the new evaluator of his permanent position or the evaluator of his detail assignment, you will be prompted to access the system and confirm any new reporting selections awaiting your review
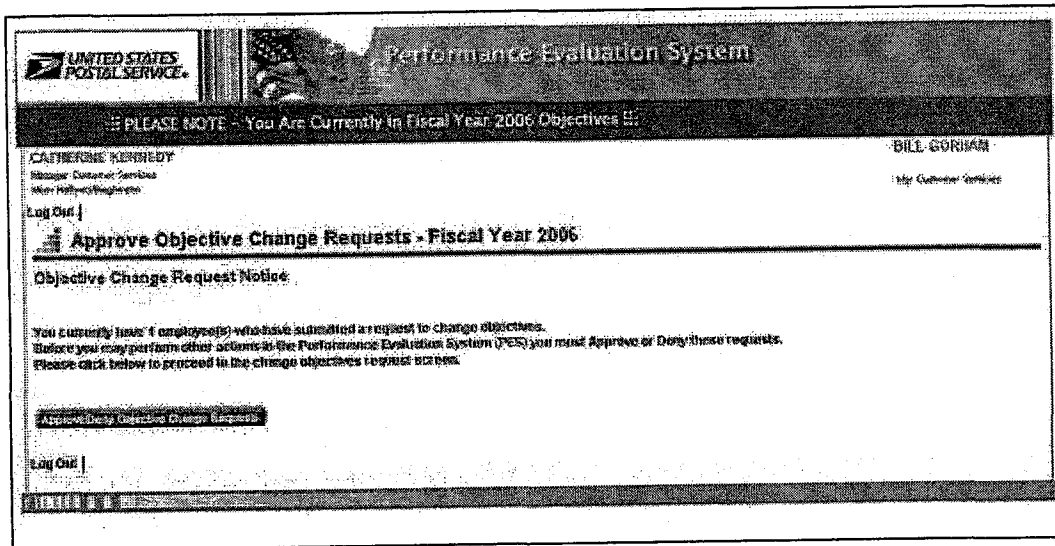
Log in to PES and access the current fiscal year. Then, proceed by following Steps 1 through 3 in the "System-Prompted Actions: Actions for New Evaluators" section of this guide.

Employee-Initiated Actions: Employee Changes Objectives
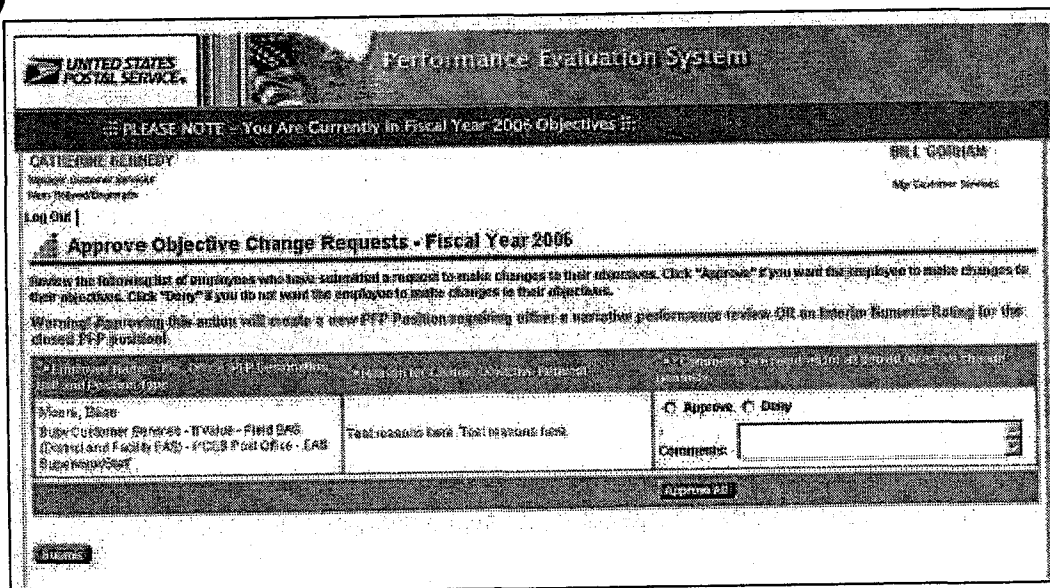
Situations may arise in which an employee takes on a new PFP position, but in which this position change is not identified by the CMS data feed into PES. If this is the case, the employee must submit a request to his current evaluator asking that he be allowed to edit his current objectives.

If an employee makes this request, you will receive an e-mail from PES prompting you to access the system and review the reasoning the employee has provided.

Begin this process by logging in to PES and accessing the main menu for FY 2006.

1. You will automatically be directed to this page.
2. Click **Approve/Deny Objective Change Requests**.

3. Review the **Reason for Change Objective Request** information the employee has submitted.
4. If the request should be denied, click **Deny** and provide **Comments**. Then click **Submit**. This will return the information to the employee and he will **not** be permitted to edit his objectives. This completes the process.
5. If the request should be approved, click **Approve**. Then click **Submit**. This will send an e-mail to the employee prompting them to enter new objectives. Continue to the next step.

Employee-Initiated Actions: Employee Changes Objectives, cont'd.

You will receive an e-mail from PES when the employee has entered new objectives and submitted them to you for approval. Log in again and access the current fiscal year.

6. Place your cursor over **Objective Setting Process** so that the pop-up menu appears.
7. Click **Approve or Return Core Requirements**.

8. Depending on the pay package of the employee whose information you are reviewing, click either **Approve Executive Objectives** or **Approve EAS Objectives**.

9. You must act on two* pending requests from the employee. Both requests can be accessed from this screen:
   - One request will be labeled as "Accomplishments/End-of-Position Submitted Pending Approval." This includes the employee's accomplishments for his previous position. Click **Review Accomplishments** to conduct this review. (See Steps 5 through 7 of "System-Prompted Actions: Actions for Old Evaluators" above.)
   - One request will be labeled as "Core Requirements Submitting – Pending Approval." These are the employee's new core requirements. Click **Approve Core Requirements** to conduct this review. (See Steps 7 and 8 of "System-Prompted Actions: Actions for New Evaluators" above.)

*You will not see the **Review Accomplishments** action pending for employees who held a position for fewer than 90 days. That position information is automatically archived and does not require review or comment from you.*

For Additional Information

- The most up-to-date version of PES help — including any updates to this quick-start guide — is available on the Pay-for-Performance (PFP) website: http://blue.usps.gov/hrisp/ser/pfp/welcome.htm

- General information regarding the Pay-for-Performance program is also available on the PFP website.

- Direct specific questions regarding PES and the PFP program to your PFP coordinator.

Performance Evaluation System

Objective-Setting Process

Quick-Start Guide for Employees

Version 2, October 2005

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Overview of the Objective-Setting Process

The objective-setting process begins when your evaluator holds an interactive discussion with you to determine your goals for the upcoming year. During this discussion, you and your evaluator review the core requirements that you should select or the narrative objectives that you should write.

After this discussion, you enter these objectives into the Performance Evaluation System (PES) and submit them to your evaluator for review. Your evaluator then reviews this information, confirms that it is in accordance with what you discussed during the meeting, and approves/disapproves the objectives as appropriate.

Important note: The number and type of objectives that you must set is determined by your pay package. This guide includes separate sections that address the different type of information that you may be required to enter, as determined by your pay package.

Before You Begin

Before you can begin the objective-setting process, you must:
- complete the Manage Profile process in PES (See the PFP website for guidance on this process.), and
- have an interactive discussion with your evaluator, during which you determine objectives and targets for the year.

Access the System

You can access PES in either of two ways:
- type **http://performance.usps.gov** into your web browser's URL line
  — or —
- click on **Pay for Performance** on the main page of **Blue**, then click on the link for **Performance Evaluation System**.

At the logon screen, do the following:
- **EAS employees:** Log in with your EID and USPS PIN. Your EID is the unique, 8-digit number printed on your earnings statement, and your USPS PIN is the same PIN you use for PostalEase.
- **PCES employees:** Log in with **either** your EID and USPS PIN <u>or</u> your ACE logon and password to access PES.

Note: An employee who was promoted to a PCES-level position after the start of FY 2004 must log into PES using his or her EID and USPS PIN.

Access the Objective-Setting Options

After logging in, you will see the fiscal year selection screen.

1. To access the FY 2006 Objective-Setting screen, click **FY 2006**. The main screen for FY 2006 will display.

2. Mouse over **Objective-Setting Process**. In the pop-up menu that appears, click **Enter, Edit, or Delete Objectives and Submit Objectives**. Your FY 2006 objective-setting screen will display.

Enter Objectives
For Field EAS, PPO Managers/Supervisors, Sales EAS, and EEO Field Operations Employees

If you are a Field EAS, PPO Manager/Supervisor, Sales EAS, or EEO Field Operations employee, you will select from a list of pre-determined core requirements. (**Note:** The following screens are for a Field EAS employee. If you are in a different pay package, you will see slight differences in how this screen appears.)

1. Begin by clicking the **Select Core Requirements** button near the top of the page. You will be transferred to a screen from which you can choose the core requirements that you and your evaluator have identified.

2. Choose a **Facility/Function** in the first drop-down menu. (You must make a selection here before making other selections on the screen.)
3. Choose a **Position** in the second drop-down menu. (You must choose a **Position** before choosing **Core Requirements**.)
4. **Core Requirements** will display in the left window at the bottom of the screen. Highlight a core requirement, and click **Add to Selected Core Requirements**. This will move the requirement to the right box. (Some positions will be able to choose a core requirement of "Other." If you choose "Other," you will be prompted to enter the description that you and your evaluator have determined.)
5. After you have selected all core requirements that are required, click **Save Selected Core Requirements**.

Enter Objectives
For Field EAS, PPO Managers/Supervisors, Sales EAS, and EEO Field Operations Employees, cont'd.

The left column of the main core requirements screen will display the core requirements you selected on the previous screen.

6. For each core requirement, enter targets at the **Contributor**, **High Contributor**, and **Exceptional Contributor** levels.
7. If at any point prior to entering all this information you would like to leave the screen, click **Save and Finish Later**.
8. When you have selected all the core requirements and entered all the targets you are required to, click **Save**. Clicking this button will display another button—**Submit to Evaluator**.
9. Click **Submit to Evaluator** to save the information you have entered and have the system forward it to your evaluator for review and approval. (**Important note:** After you click this button, your objectives will no longer be available for your editing. You will only be permitted to edit your objectives further if your evaluator disapproves them and returns them to you for additional work.)

Enter Objectives

For ACS Attorneys, Area & Field Executives, Area EAS, HQ/HQ-Related EAS, and HQ/HQ-Related Executives

If you are an ACS Attorney, Area or Field Executive, Area EAS, HQ/HQ-Related EAS, or HQ/HQ-Related Executive, you will enter narrative objectives that you have discussed with your evaluator. (**Note:** The following screens are for an HQ/HQ-Related EAS. If you are in a different pay package, you will see slight differences in how this screen appears.)

1. Enter a description of the objective in the **Individual Objective** field.
2. Enter the **Trackable System** that will be used to monitor progress toward achieving the objective.
3. Enter target performance levels/outcomes at the levels specified.
4. When all these fields have been completed, click **Add Objective**. The screen will refresh and show the objective in read-only format.
5. Enter another **Individual Objective** (along with its associated **Trackable System** and targets performance levels/outcomes).
6. Click **Add Objective**.
7. Repeat Steps 5 and 6 for all narrative objectives you must enter.
    - If at any point you must change an individual objective and any information you have entered for it, click the **Edit** button associated with that objective.
    - If at any point you must delete an individual objective and any information you have entered for it, click the **Delete** button associated with that objective.
    - If at any point prior to entering all this information you would like to leave the screen, click **Save and Finish Later**.
8. After you have entered all the objectives you are required to, the screen will display a **Submit to Evaluator** button.
9. Click **Submit to Evaluator** to save the information you have entered and have the system forward it to your evaluator for review and approval. (**Important note:** After you click this button, your objectives will no longer be available for your editing. You will only be permitted to edit your objectives further if your evaluator disapproves them and returns them to you for additional work.)

Enter Objectives
For EAS Postmasters (Including A-E)

If you are an EAS Postmaster, you will use the objective-setting module to review the Leadership & Communication and Fiscal Management core requirements that have been pre-determined for your pay package.

1. Review the **Leadership & Communication** and **Fiscal Management** core requirements displayed on the page.
2. In the field under each requirement, describe the actions you will take in order to achieve each objective.
3. If at any point prior to entering all this information you would like to leave the screen, click **Save and Finish Later**.
4. When you have entered all the information, click **Save**. Clicking this button will display another button—**Submit to Evaluator**.
5. Click **Submit to Evaluator** to save the information you have entered and have the system forward it to your evaluator for review and approval. (**Important note:** After you click this button, your objectives will no longer be available for your editing. You will only be permitted to edit your objectives further if your evaluator disapproves them and returns them to you for additional work.)

Respond if Your Evaluator Returns Your Objectives

After you submit your objectives, they are forwarded to your evaluator for his/her review. He/she has the ability to approve or disapprove each objective.

If he/she **disapproves** any of your objectives, PES will notify you via email that you need to access the system and re-enter the objective-setting module. You must review the comments your evaluator provided and revise your objective(s) accordingly.

After you make the requested revisions, you must re-submit your objectives to your evaluator for review.

Print Objectives After They Are Approved

After your evaluator has approved your objectives, you will receive e-mail notification from PES that you can access the system and view/print your finalized objectives for FY 2006.

For Additional Information

- The most up-to-date version of PES help — including any updates to this quick-start guide — is available on the PFP website.

- Direct specific questions regarding PES and the PFP program to your district PFP coordinator. These coordinators are also listed on the PFP website.

UNITED STATES
POSTAL SERVICE

Performance Evaluation System

Review & Approve Objectives

Quick-Start Guide for Evaluators

Version 2, October 2005

Table of Contents

Overview of the Evaluator's Role in the Objective-Setting Process

The objective-setting process begins when you as an evaluator hold an interactive discussion with an employee to determine his/her goals for the upcoming year. During this discussion, you and the employee review the core requirements that he/she should select or the narrative objectives that he/she should write. (The number and type of objectives that must be set will vary based on the employee's pay package.)

After this discussion, the employee enters these objectives into the Performance Evaluation System (PES) and submits them to you for review. As the employee's evaluator, you are then responsible for reviewing this information, confirming that it is in accordance with what you discussed during the meeting, and approving/disapproving the objectives as appropriate.

Before You Begin

Before you can begin reviewing and approving employees' objectives:
- you must complete the Manage Profile process in PES (See the PFP website for guidance on this process.)
- you must have an interactive discussion with each employee, during which you determine objectives and targets for the year, and
- your employee must enter his/her objectives into PES and submit them to you for review.

Access the System

You can access PES in either of two ways:
- type **http://performance.usps.gov** into your web browser's URL line
  — or —
- click on **Pay for Performance** on the main page of **Blue**, then click on the link for **Performance Evaluation System**.

At the logon screen, do the following:
- **EAS employees:** Log in with your EID and USPS PIN. Your EID is the unique, 8-digit number printed on your earnings statement, and your USPS PIN is the same PIN you use for PostalEase.
- **PCES employees:** Log in with **either** your EID and USPS PIN <u>or</u> your ACE logon and password to access PES.

Note: An employee who was promoted to a PCES-level position after the start of FY 2004 must log into PES using his or her EID and USPS PIN.

Access the Objective-Setting Options

After logging in, you will see the fiscal year selection screen.

1. To access the FY 2006 Objective-Setting screen, click the link for **FY 2006**. The main screen for FY 2006 will appear.

2. Mouse over **Objective-Setting Process**. In the pop-up menu that appears, click **Approve or Return Core Requirements**. A screen summarizing all the employees for which you must carry out this action will display.

Overview of Summary Screen

After clicking **Approve or Return Core Requirements**, the Evaluator Actions screen displays.

1. Click on either **Approve Executive Objectives** or **Approve EAS Objectives**, depending on which type of employees' objectives you would like to view. The screen will display as follows.

2. A **You Have Pending Required Actions** message will appear if there are actions on this screen that you must take.

3. If you are required to take action on an employee, he/she will have one of the following buttons next to his/her name:
   - **Approve Core Requirements:** An employee who **has** submitted his/her objectives will have an **Approve Core Requirements** button next to his/her name. Click this button to view the information submitted. (Go to Page 6 for detail on this process.)
   - **Reason for No Core Requirements:** An employee who **has not** yet submitted his/her objectives for review will be noted with an "FY 2006 Core Requirements Not Submitted" message. The employee must enter objectives and submit them to you for approval —OR— you must click the **Reason for No Core Requirements** button next to the employee's name. (See Page 7 for a description of when this **Reason for No Core Requirements** process should be used.)

4. **For Executives only:** The screen will also display employees for whom you are **not** required to take action, but for whom you are permitted to view the status of objectives. Only these employees' names and the status of their objectives will appear. They will **not** have any buttons next to their names until their first-level evaluators approve their objectives. At that time, they will have **Print Status** buttons next to their names.

Review and Approve Employee Objectives

Clicking the **Approve Core Requirements** button next to an employee's name displays the following screen.

(Note: The following screens illustrate the information and number of objectives that will be displayed for a **Field EAS** employee. If you are reviewing objectives for an employee in a different pay package, you will see slight differences in how this screen appears and the number of objectives being displayed.)

1. Each of the employee's objectives and targets will display. You must use the **Approve** and **Disapprove** buttons to indicate whether you approve each objective and its corresponding targets. (**Note:** Any pre-determined objectives that are populated into the system will already be noted with an **Auto Approved** tag on this screen.)
2. If you **Disapprove** an objective, you must provide **Comments** that will be returned to the employee so that he/she can revise the objective accordingly.

3. At the bottom of the screen, do one of the following:
   - If you would like to save the information you have entered and return later to complete reviewing the employee's information, click **Save and Finish Later**.
   - If you **approve all** of the employee's objectives, click **Approve All Objectives**. This action completes the objective-setting process for this employee.
   - If you **disapprove of any** of the employee's objectives, click **Return Objectives**. The employee will be notified that he/she must re-enter PES and update his/her objectives according to your comments. He/she will then re-submit them to you for review. At that time, you will need to repeat this process.
   - If you would like to exit the screen without saving any information, click **Return to Previous Screen**.

4. If you clicked **Approve All Objectives** or **Return Objectives** on the previous screen, the Evaluator Actions for Employees screen will display a **Print Status Report** button next to the employee's name. Click that button to view the employee's information in a printer-friendly format.

"Reason for No Objectives" Option

Clicking the **Reason for No Objectives** button next to an employee's name displays the following screen.

1. Make a selection from the **Reason no Core Requirements will be entered** drop-down menu:
   - **LWOP Military**
   - **LWOP Not Military**
   - **No Computer Access Available**
   - **Other**
2. Enter a short description of why no core requirements are being entered in the **Comments** field.
3. Click **Save** to record the information.

For Additional Information

- The most up-to-date version of PES help — including any updates to this quick-start guide — is available on the PFP website.

- Direct specific questions regarding PES and the PFP program to your district PFP coordinator. These coordinators are also listed on the PFP website.

Objective Setting Process:
Tips for Employees and Evaluators

WHAT OBJECTIVE SETTING IS: The Objective Setting process is a time for employees and evaluators to meet and establish goals for the employee for the upcoming evaluation period.

BEFORE OBJECTIVE-SETTING DISCUSSION: Before the evaluators and employees meet to discuss the goals for the upcoming evaluation period, the evaluator must plan his or her strategy for the fiscal year. Evaluators must:
- determine what they hope to achieve by the end of the year
- describe how the unit will contribute to organizational success, and
- define strategies to achieve those desired outcomes.

OBJECTIVE-SETTING DISCUSSION: When the evaluator and employee meet, they should aim to establish goals for the employee that they may make contributions to within their line-of-site or influence. The goals should impact the following areas (as outlined in the USPS Transformation Plan):
- managing costs
- improving service
- developing people
- pursuing reform, and
- growing revenue.

EMPLOYEE OBJECTIVE PLANNING: Employees may wish to use the planning worksheets available on the PFP website to create a list of objectives prior to meeting with their evaluators. This can help both the evaluator and the employee establish agreeable objectives. These worksheets may also be used to document the objectives that are agreed upon in the meeting. Remember, though, that all employees who have computer access must enter their objectives into the Performance Evaluation System (PES).

NUMBER OF CORE REQUIREMENTS: Depending upon an employee's position, he or she might have a predetermined list of behavioral core requirements to choose from, or he or she might need to draft unique narrative objectives. The type of objectives—and the number of objectives—that an employee must choose depends upon his or her pay package. See the table below for more information:

	Total Number of Core Requirements	Types of Core Requirements		
		Narrative Measurable	Pre-Determined Measurable	Pre-Determined Behavioral
ACS Attorneys	4	3	--	1
Area & Field Executives	2	2	--	--
Area EAS	2	2	--	--
EAS Postmasters	2	--	--	2
Field EAS	4	--	3	1
EEO Field Operations	4	--	3	1
HQ/HQ-Related EAS	4	3	--	1
HQ/HQ-Related Executives	4	4	--	--
PPO Managers/Supervisors	4	--	3	1
Sales EAS	3	--	3	--
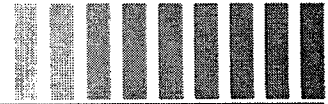
AFTER OBJECTIVE-SETTING DISCUSSION: Once an evaluator and employee have discussed the goals and objectives for the upcoming fiscal year, the employee must log in to the Performance Evaluation System (PES) and document their goals.

OBJECTIVE REVIEW: The employee and evaluator must make sure that the objectives that the employee has set are attainable. This can be done by asking yourself these questions:

- Are these indicators within the employee's line of sight?
- Are the performance level targets achievable?
- Will achieving these targets help move the organization toward higher performance?
- Are the targets challenging? Can they be measured?
- Can results be quantified?

After the evaluator has reviewed the objectives, they can either be returned to the employee for additional work or approved via PES.

For more information on either core requirements or objective setting, please·refer to the PFP website.

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In This Issue...

April 25, 2006

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Retail associate is "friendliest customer service representative"

Mid-year standardization
Review period lengthened to six weeks

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Case worker

Did You Know?

Quotable Quotes
Real mail gets results

Postscripts
I'll take "2006 Stamps" for $800, Alex!

Mailbag
Let's go prime time • Passport fairs pay off

Heroes' Corner
Above and beyond

Newsstand
Post Offices support breast cancer awareness

Mid-year standardization
Review period lengthened to six weeks

The mid-year evaluation is all about communication and feedback — the give and take between managers and employees that helps define and refine expectations and performances. So it should come as no surprise that the process itself can be changed by communication and feedback!

As a result of several inquiries from field operations, the mid-year evaluation has been standardized to include a six-week window of time in which to complete the entire process — from employee input of accomplishments to the evaluator submitting a discussion date.

Why? Since the National Performance Assessment (NPA) report card is published monthly and includes year-to-date information for the previous month, this six-week window will allow evaluators to view the 10/01-03/31 NPA results, which will be published April 28, before performing mid-year discussions.

For FY 2006, the six-week review period, which started April 3, will run through May 12.

UNITED STATES POSTAL SERVICE

Performance Evaluation System

Enter Mid-Year Accomplishments

Quick-Start Guide for Employees

Version 3, March 2006

Welcome to PES

The Performance Evaluation System (PES) automates objective-setting, accomplishments, evaluations, and ratings for participants in Pay-for-Performance (PFP).

For FY 2006, all PFP-eligible employees will record their mid-year accomplishments in PES for the positions they hold as of March 31, 2006—regardless of the length of time they have been in those positions. Evaluators will then use the system to record their comments on those accomplishments and the dates on which they hold mid-year reviews with employees.

Tips on Writing Your Accomplishments

It is helpful to draft and save your accomplishments in a Word document (rather than entering them directly into the system) because you only have a limited amount of time—one hour—to enter information into PES before the system will time out.

Your mid-year accomplishments should detail the progress you have made toward meeting the performance targets that you and your evaluator set at the beginning of the position.
- For each objective, describe how far you have progressed toward meeting that target.
- Cite specific, measurable examples of your achievements.
- Use concrete data and results, and reference reports including this data when appropriate.
- Limit each of your accomplishments to a maximum of 4,000 characters. The system will not allow you to submit longer responses.

Before You Begin

Before you begin entering accomplishments into PES, these actions must be completed:
- You entered your objectives for the position you hold as of March 31 into PES and your evaluator approved them.
- You wrote your accomplishments in a Word document.

Before you attempt to access PES, you should have your login information on hand.
- **EAS employees:** Log in with your Employee Identification Number (EID) and Postal PIN. Your EID is the unique, 8-digit number printed on your earnings statement, and your Postal PIN is the same PIN you use for PostalEase.
- **PCES employees:** Log in with <u>either</u> your EID and Postal PIN <u>or</u> your ACE logon and password.

Note: An employee who was promoted to a PCES-level position after the start of FY 2004 must log into PES using his or her EID and Postal PIN.

Access the System

You can access PES in either of two ways:
- type **http://performance.usps.gov** into your web browser's URL line — or —
- click on **Pay for Performance** on the main page of **Blue**, then click on the link for **PES**.

At the logon screen, do the following:
- **EAS employees:** Log in with your EID and Postal PIN. Your EID is the unique, 8-digit number printed on your earnings statement, and your Postal PIN is the same PIN you use for PostalEase.
- **PCES employees:** Log in with <u>either</u> your EID and Postal PIN <u>or</u> your ACE logon and password to access PES.

Access the Enter Mid-Year Accomplishments Screen

*Note: If you have **not** yet confirmed your PES profile or have not yet entered objectives and had them approved, the system will automatically direct you to take these actions before allowing you to access any other area of the system. See other PES Quick-Start Guides for information on these processes.*

After logging in, the fiscal year selection screen displays.

1. Click **Fiscal Year 2006**. The main screen for FY 2006 will display.

2. On the main screen for FY 2006, place your mouse over **Mid-Year Process** until the mid-year menu appears.
3. Click **Enter and submit mid-year accomplishments** in this menu.

Enter Mid-Year Accomplishments

After clicking **Enter and submit mid-year accomplishments**, the objectives that you set earlier in the year are displayed. Depending upon your PFP position, the screens you see may look different.

1. Open the file in which you have drafted and saved your mid-year accomplishments. Use the "Copy" function to make a copy of the accomplishment information you have drafted for your first objective.
2. In the web browser you are using for PES, use the "Paste" function to paste that information into the **Mid-Year Accomplishments** field that corresponds to that objective.
3. Repeat this process for each accomplishment that you must enter.

4. At the bottom of the screen, you can enter **Additional Employee Contributions**.
5. Do one of the following:
   - **If you need to return later to finish entering your accomplishments**, click **Save and Finish Later**. (Also, be sure to click this button before you have been logged into the system for more than one hour. Otherwise, the system will time out and you will lose any information that has not previously been saved.)
   - **If you have entered all your accomplishments and are ready for your evaluator to review them**, click **Submit to Evaluator/Executive or VP**. After this point, your accomplishments will only be available to you in read-only format.

Respond if Your Accomplishments Are Returned

After you submit your mid-year accomplishments for your evaluator's review, he or she then logs into PES to review the information.

- If he or she **approves your accomplishments**, no additional action is necessary on your part.
- If he or she **returns your accomplishments for additional work**, you will receive e-mail notification that they must be revised. You must re-enter the "Enter Mid-Year Accomplishments" screen in PES and revise your accomplishments as directed by your evaluator. His or her instructions will be displayed in the **Overall Comments** field at the bottom of this screen.

For Additional Information

- The most up-to-date version of PES help — including any updates to this quick-start guide — is available on the Pay-for-Performance (PFP) website: http://blue.usps.gov/hrisp/ser/pfp/welcome.htm

- General information regarding the Pay-for-Performance program is also available on the PFP website.

- Direct specific questions regarding PES and the PFP program to your PFP coordinator.

Performance Evaluation System

Review Mid-Year Accomplishments – and – Enter Mid-Year Discussion Date

Quick-Start Guide for Evaluators

Version 3, March 2006

Welcome to PES

The Performance Evaluation System (PES) automates objective-setting, accomplishments, evaluations, and ratings for participants in Pay-for-Performance (PFP).

For FY 2006, all PFP-eligible employees will record their mid-year accomplishments in PES for the positions they hold as of March 31, 2006.* If you are evaluating the performance of an employee, you must use PES to review that employee's accomplishments, comment on them, and record the date on which you meet with the employee to discuss his or her accomplishments.

You must also use PES to record information about the rare situations in which mid-year reviews cannot be conducted. These situations may arise when an employee is in an approved leave without pay status (LWOP-Military or LWOP-Not Military) or in other situations.

This guide describes both the process used to document mid-year reviews and the process used to document mid-year reviews that cannot be held.

__ Note: A small group of employees may not be able to enter their mid-year accomplishments into PES, either as the result of not having computer access or being on approved LWOP. This guide also describes what actions should be taken in these rare cases.__*

Before You Begin

Before you begin, any employee you evaluate will enter his or her accomplishments into PES and submit them to you for review. (Employees who have not entered accomplishments, either as the result of **not** having computer access or being on approved LWOP, will provide accomplishments to you on a paper form.)

Before you attempt to access PES, have your login information on hand.
- **EAS employees:** Log in with your Employee Identification Number (EID) and Postal PIN. Your EID is the unique, 8-digit number printed on your earnings statement, and your Postal PIN is the same PIN you use for PostalEase.
- **PCES employees:** Log in with <u>either</u> your EID and Postal PIN <u>or</u> your ACE logon and password.

Note: An employee who was promoted to a PCES-level position after the start of FY 2004 must log into PES using his or her EID and Postal PIN.

Access the System

You can access PES in either of two ways:
- type **http://performance.usps.gov** into your web browser's URL line — or —
- click on **Pay for Performance** on the main page of **Blue**, then click on the link for **PES**.

At the logon screen, do the following:
- **EAS employees:** Log in with your EID and Postal PIN. Your EID is the unique, 8-digit number printed on your earnings statement, and your Postal PIN is the same PIN you use for PostalEase.
- **PCES employees:** Log in with <u>either</u> your EID and Postal PIN <u>or</u> your ACE logon and password to access PES.

Access the Review Mid-Year Accomplishments Screen

*Note: If you have **not** yet confirmed your PES profile or have **not** yet entered objectives and had them approved, the system will automatically direct you to take these actions before allowing you to access any other area of the system. See other PES Quick-Start Guides for information on these processes.*

After logging in, the fiscal year selection screen displays.

1. Click **Fiscal Year 2006**. The main screen for FY 2006 will display.

2. On the main screen for FY 2006, place your mouse over **Mid-Year Process** until the mid-year menu appears.
3. Click **Review mid-year accomplishments and enter discussion date** in this menu.

View Employee Status Main Screen

After clicking **Review mid-year accomplishments and enter discussion date**, the employee status main screen will display.

1. Click either **Perform Mid-Year Executive Reviews** or **Perform Mid-Year EAS Reviews**, depending on the pay package of the employees whose reviews you must conduct.

2. The employee status main screen will display. If there are mid-year reviews pending your review, a yellow **You have pending required actions** message will appear in the top right corner.
   - **If you are a PCES executive,** this screen will list all PCES executives in your reporting chain. You are only required to perform mid-year reviews for your direct reports, who will have **Save** buttons associated with their records. You are only permitted to view the mid-year information for these other PCES executives.
   - **If you are an EAS employee,** this screen will display your direct reports in a grid at the top of the page. You are required to perform mid-year reviews for your direct reports, and they will each have a **Save** button associated with their records. The bottom grid on the screen will display employees farther down in your reporting chain. They are provided here only so that you can view the status of their mid-year reviews.

View/Comment on Accomplishments – Prior to Discussion

For each of your direct reports, begin the mid-year review process by viewing an employee's mid-year accomplishments.

Note: If you are reviewing any employees who have not entered objectives/accomplishments into the system (either as the result of not having computer access or being on approved LWOP), this section does not apply to you. Please see the "Finalize Mid-Year Review – After Discussion" section for details on how to record information for those employees.

1. On the employee status main screen, click **Perform Accomplishments Review** next to the employee's name. Their mid-year accomplishments will display. (This button only appears next to employees who have entered and submitted accomplishments to you for review.)

2. Review the mid-year accomplishment information the employee has entered for the first objective. Scroll down to view each of the accomplishments for other objectives.

3. At the bottom of the page, do one of the following:
   - If the employee does **not** need to make updates to accomplishments and you do **not** need to record comments of your own at this time, click **Save and Finish Later**.
   - If you wish to enter preliminary comments regarding an employee's accomplishments, enter this information in the **Mid-Year Evaluator Comments** field that corresponds to that accomplishment. Click **Save and Finish Later**.
   - If you want to instruct the employee to revise the information he or she has submitted, describe the revisions you would like the employee to make in the **Evaluator Mid-Year Overall Comment** field at the bottom of the page. Click **Return Accomplishments to Employee**. The system will notify the employee to re-enter PES and update the accomplishments. After making updates, he or she will re-submit the accomplishments to you for review.
4. When the employee has submitted accomplishments that require no additional work on his part, schedule a time to hold a mid-year discussion with the employee.

Finalize Mid-Year Review – After Discussion

After holding a mid-year discussion with one of your direct reports, you must re-enter PES and access the employee status main screen again.

1. For employees who have entered objectives and accomplishments in the system, begin the process of entering your final evaluator comments by clicking **Perform Accomplishments Review**. (If you are reviewing employees who have **not** entered objectives or accomplishments in the system either as the result of not having computer access or being on approved LWOP, skip ahead to Step 6 in this section.)

2. Enter information into the **Mid-Year Evaluator Comments** fields associated with each of the employee's objectives.

3. At the bottom of the screen, click **Save Completed Online Review**. (Do **not** click this button until your comments are correct and complete, as they will only be available in read-only format after you do this.)
4. The system will confirm that the information has been saved.
5. Navigate back to the employee status main screen.

6. Click the calendar icon to open a pop-up calendar from which you select the **Discussion Date**—the date on which you held the employee's mid-year review.*
7. If desired, provide any additional comments in the **Discussion Comments** field.
8. Click **Save**. This completes the mid-year review for this employee.

* If you are evaluating an employee who has not entered objectives and accomplishments into the system as the result of not having computer access or being on approved LWOP, he will display on this screen with a "Mid-Year Accomplishments Not Submitted/No Computer Access Available For Objective Setting" message next to his name. For these employees, you must only complete Steps 6 though 8 in this section in order to finalize their mid-year reviews in the system.

Record Reason for No Discussion

If you cannot conduct a mid-year review for one of your direct reports (because he is in an approved LWOP-Military or an LWOP-Not Military status or is in a similar situation), you must document the reason for this lack of discussion in PES.

● Begin at the employee status main screen.

1. Use the **Reason For No Discussion** drop-down menu to select one of the following:
    - **LWOP-Military**
    - **LWOP-Not Military**
    - **Extended Leave for the Entire Period of 4/3/06 through 4/23/06**
    - Use the **Discussion Comments** field to provide additional detail about why the discussion was not held. (These comments are only required if you choose **Extended Leave for the Entire Period of 4/3/06 through 4/23/06**
2. from the **Reason For No Discussion** field.)
3. Click **Save**. This completes the mid-year process for this employee.

For Additional Information

- The most up-to-date version of PES help — including any updates to this quick-start guide — is available on the Pay-for-Performance (PFP) website: http://blue.usps.gov/hrisp/ser/pfp/welcome.htm

- General information regarding the Pay-for-Performance program is also available on the PFP website.

- Direct specific questions regarding PES and the PFP program to your PFP coordinator.

Interim and End-of-Year Ratings:
Guidelines for Determining Who Provides These Reviews

Your position history determines:
- whether you receive an interim narrative performance review or an interim numeric review
- who performs your end-of-year evaluation/assigns your overall performance rating for the evaluation period.

Your position history will fall into one of three main groups:

Group	During this evaluation period, you hold ...	This means that your end-of-year evaluation and core requirements rating will be performed by ...
1	only one position—either a position of record or a detail assignment—for the entire evaluation period.	the evaluator of the position you work in for the entire evaluation period.
2	at least two positions— either positions of record and/or detail assignments. You are in one of those positions for **276 or more** consecutive calendar days.	the evaluator of the position you work in for 276 or more consecutive calendar days.
3	at least two positions— either positions of record and/or detail assignments. You are in each of these positions for **275 or fewer** consecutive calendar days.	the evaluator of the position of record you work in at the end of the evaluation period (Sept. 30, 2005). He or she will consider any interim ratings you have received from other supervisors who managed your performance at other points throughout the year. • You will receive an **interim narrative performance review** from any evaluator who managed your work for 90 to 179 consecutive calendar days during the evaluation period. * • You will receive an **interim numeric rating** from any evaluator who managed your work for 180 to 275 consecutive calendar days during the evaluation period. * If you fall into this category, you will receive your interim ratings before your end-of-year evaluation is performed and before your overall performance rating is assigned.

* Please see "Change Management Guidelines" for complete detail on the process used to assign interim narrative performance reviews and/or numeric ratings. Remember: HQ and HQ-related employees who hold a position for 90 to 275 days and then move into another PFP position can receive an overall comment from the evaluator of the previous position. HQ and HQ-related employees do not, though, receive interim ratings.

The following pages of this provide examples of how evaluations are handled for each group defined above.

Interim and End-of-Year Ratings:
Guidelines for Determining Who Provides These Reviews, cont'd.

Key to Illustrations in this Document

The following diagram describes each of the abbreviations and illustrations used throughout this document.

POR – Position of record

Detail – Detail assignment

POR #1
(180 Days)

POR #2
(95 Days)

INR

S
Day 271

S
Day 1

Detail #1 (90 Days)

Day 365

S
Day 181

INPR

Day 270

INR – Interim numeric rating

INPR – Interim narrative performance review
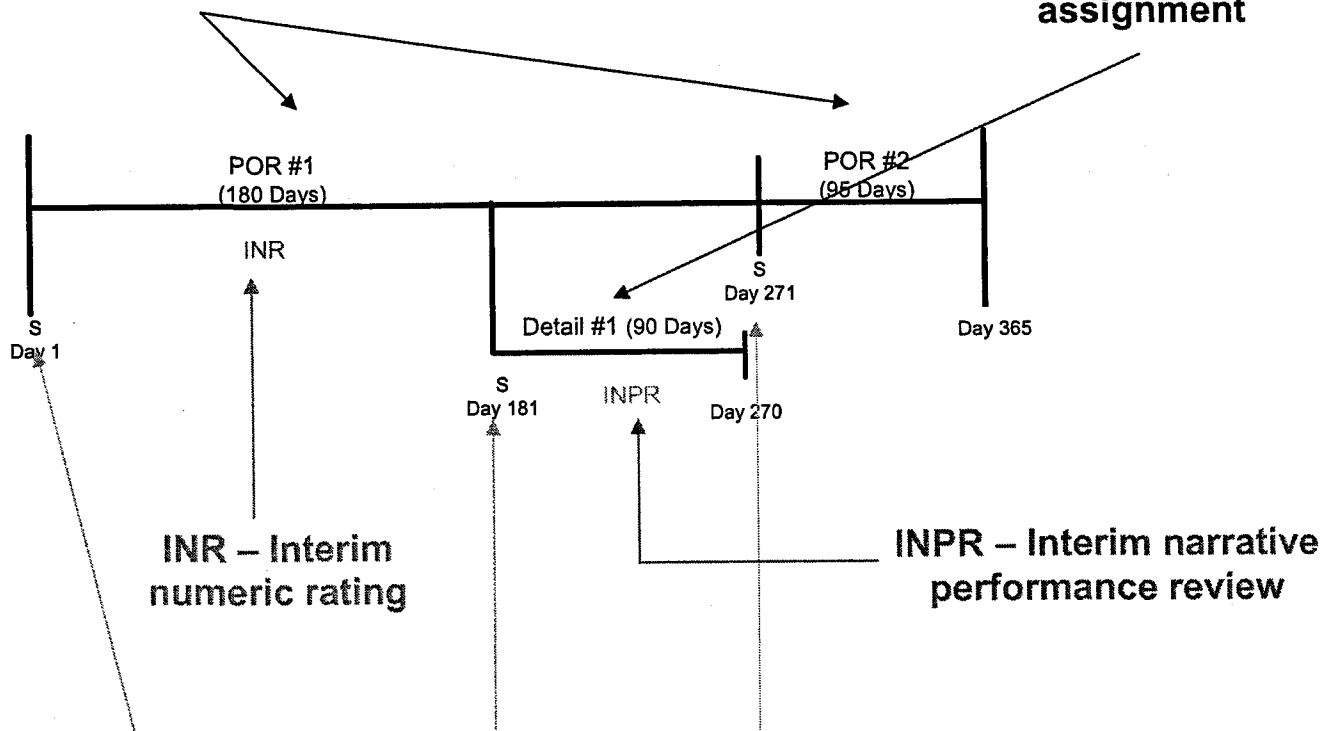
S — Start date, on day "X" of the year
Day X

Interim and End-of-Year Ratings:
Guidelines for Determining Who Provides These Reviews, cont'd.

Group 1 Examples

I held only one position—either a position of record or a detail assignment—for the entire evaluation period.

<u>Example #1:</u>

```
            ┌─────────────────────────┐
            │  POR (same for all year) │
            │        365 Days          │
            └─────────────────────────┘
  │─────────────────────────────────────────────│
  │                                              │
  S                                         Day 365
Day 1
```
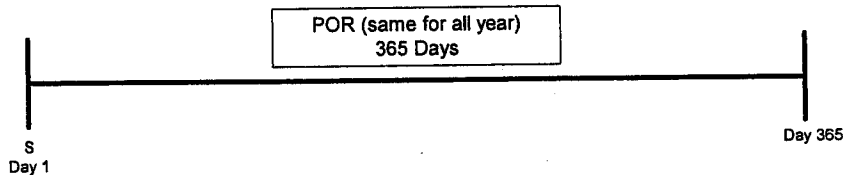
Position history:	You worked in a single POR for the entire evaluation period.
Interim ratings:	None.
End-of-year evaluation and core requirements rating:	This is performed by the individual who evaluated your performance in the POR you held for the entire evaluation period.

<u>Example #2:</u>

```
            ┌─────────────────────────┐
            │  POR (same for all year) │
            │        365 Days          │
            └─────────────────────────┘
  │─────────────────────────────────────────────│
  │  ┌─────────────────────────┐                 │
  │  │  Detail (same for all year) │             │
  │  │        365 Days          │                │
  │  └─────────────────────────┘                 │
  S                                         Day 365
Day 1
```
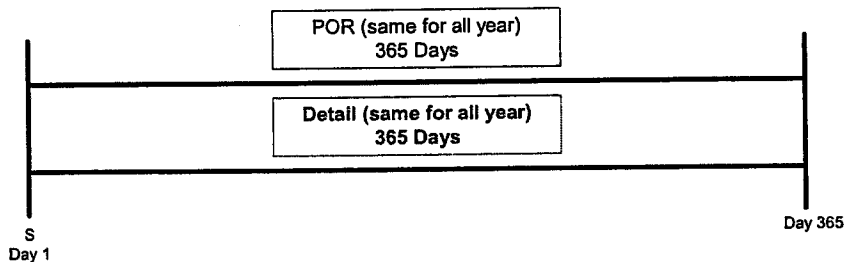
Position history:	You worked in a single detail assignment for the entire evaluation period.
Interim ratings:	None.
End-of-year evaluation and core requirements rating:	This is performed by the individual who evaluated your performance in the detail assignment you held for the entire evaluation period.

Group 2 Examples

I held at least two positions—either positions of record and/or detail assignments. I was in one of these positions for 276 or more consecutive calendar days.

Example #1:

```
| POR #1  |          POR #2          |   POR #3   |
| (9 Days)|        (278 Days)        |  (78 Days) |
|         |                          |            |
S         S                          S            Day 365
Day 1     Day 10                     Day 288
```
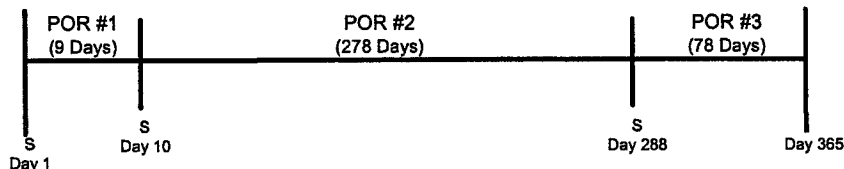
Position history:	You worked in more than one POR over the course of the evaluation period. You worked in one of these positions—POR #2—for 278 consecutive calendar days.
Interim ratings:	None.
End-of-year evaluation and core requirements rating:	This is performed by the individual who evaluated your performance in POR #2 because you held that position for 276 or more consecutive calendar days during the evaluation period.

Example #2:

```
|                POR #1                |
|              (276 Days)              |
|                       | Detail #1 (89 Days) |
|                       S                     |
|                       Day 277               |
S                                             Day 365
Day 1
```
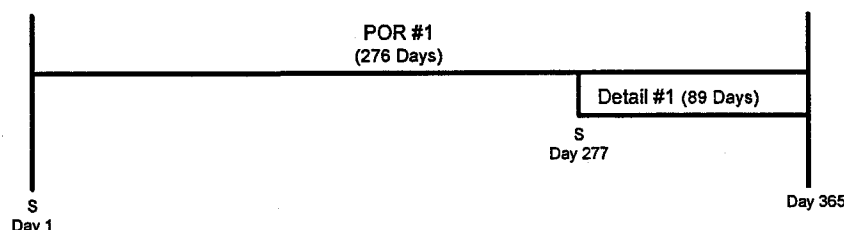
Position history:	You worked in one POR and one detail assignment during the evaluation period. You worked in one of these positions—POR #1—for 276 consecutive calendar days.
Interim ratings:	None.
End-of-year evaluation and core requirements rating:	This is performed by the individual who evaluated your performance in POR #1 because you held that position for 276 or more consecutive calendar days during the evaluation period.

Group 2 Examples, cont'd.

Example #3:
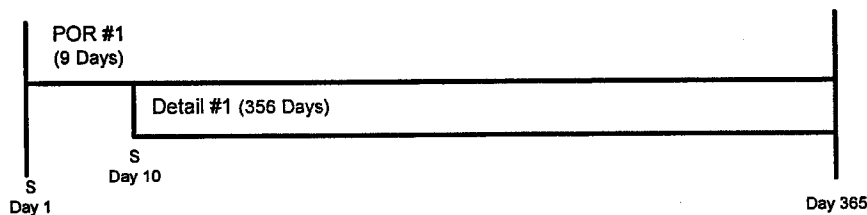
```
POR #1
(9 Days)
          Detail #1 (356 Days)
        S
      Day 10
  S                                          Day 365
Day 1
```

Position history:	You worked in one POR and one detail assignment during the evaluation period. You worked in one of these positions—Detail #1—for 356 consecutive calendar days.
Interim ratings:	None.
End-of-year evaluation and core requirements rating:	This is performed by the individual who evaluated your performance in Detail #1 because you held that position for 276 or more consecutive calendar days during the evaluation period.

Example #4:

```
POR #1                                  POR #2
(1 Day)                                 (64 Days)
                                  S
                                Day 302
  S        Detail #1 (300 Days)              Day 365
Day 1
      S                              Day 301
    Day 2
```
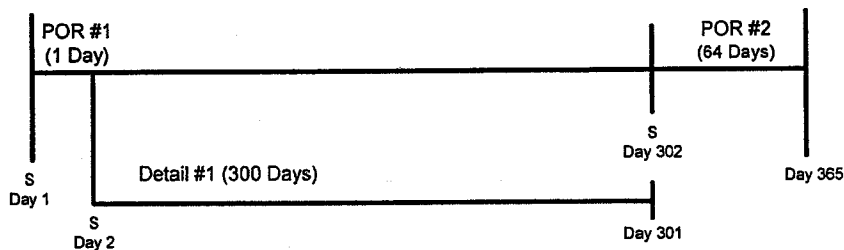
Position history:	You worked in two PORs and one detail assignment during the evaluation period. You worked in one of these positions—Detail #1—for 300 consecutive calendar days.
Interim ratings:	None.
End-of-year evaluation and core requirements rating:	This is performed by the individual who evaluated your performance in Detail #1 because you held that position for 276 or more consecutive calendar days during the evaluation period.

Interim and End-of-Year Ratings:
Guidelines for Determining Who Provides These Reviews, cont'd.

Group 3 Examples

I held at least two positions—either positions of record and/or detail assignments. I was in each of these positions for 275 or fewer consecutive calendar days.
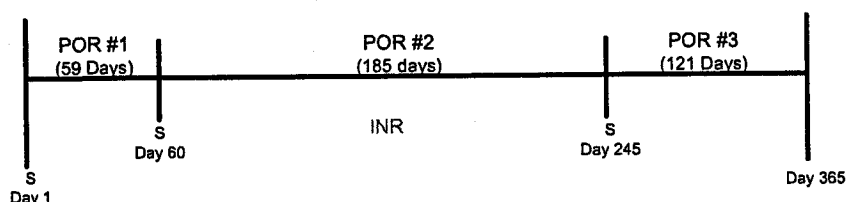
<ins>Example #1:</ins>

```
| POR #1        |    |      POR #2        |     |   POR #3        |
| (59 Days)     |    |      (185 days)    |     |   (121 Days)    |
                |                              |
                S              INR             S
                Day 60                         Day 245
|                                                           |
S                                                           Day 365
Day 1
```

Position history:	You worked in three different PORs during the evaluation period.
Interim ratings:	• You do not receive an interim rating from your POR #1 supervisor because you held that position for fewer than 90 calendar days.
	• You do receive an **interim numeric rating** from your POR #2 supervisor because you held that position for 180 or more calendar days.
	• You do not receive an interim rating from your POR #3 supervisor because he or she is responsible for your EOY evaluation and core requirements rating.
End-of-year evaluation and core requirements rating:	This is performed by your POR #3 supervisor because he or she managed your work at the end of the year **and** because you did **not** hold any other position for 276 or more consecutive calendar days during the evaluation period.

<ins>Example #2:</ins>

```
|    POR #1      |        |   POR #2      |     |   POR #3      |
|    (180 Days)  |        |   (90 Days)   |     |   (95 Days)   |
        INR              S      INPR       S
                         Day 181           Day 271
|                                                           |
S                                                           Day 365
Day 1
```

Position history:	You worked in three different PORs during the evaluation period.
Interim ratings:	• You do receive an **interim numeric rating** from your POR #1 supervisor because you held that position for 180 or more calendar days.
	• You do receive an **interim narrative performance review** from your POR #2 supervisor because you held that position for between 90 and 179 calendar days.
	• You do not receive an interim rating from your POR #3 supervisor because he or she is responsible for your EOY evaluation and core requirements rating.
End-of-year evaluation and core requirements rating:	This is performed by your POR #3 supervisor because he or she managed your work at the end of the year **and** because you did **not** hold any other position for 276 or more consecutive calendar days during the evaluation period.

Group 3 Examples, cont'd.

Example #3:
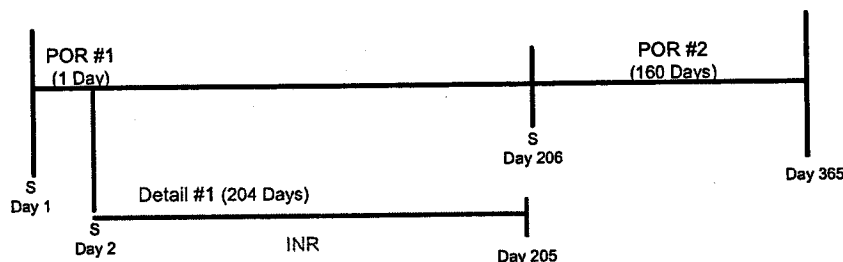
Position history:	You worked in two PORs and held one detail assignment during the evaluation period.
Interim ratings:	• You do not receive an interim rating from your POR #1 supervisor because he or she oversaw your work for less than 90 calendar days. • You do receive an **interim numeric rating** from your Detail #1 supervisor because you held that position for 180 or more calendar days. • You do not receive an interim rating from your POR #2 supervisor because he or she is responsible for your EOY evaluation and core requirements rating.
End-of-year evaluation and core requirements rating:	This is performed by your POR #2 supervisor because he or she managed your work at the end of the year **and** because you did **not** hold any other position for 276 or more consecutive calendar days during the evaluation period.

Example #4:
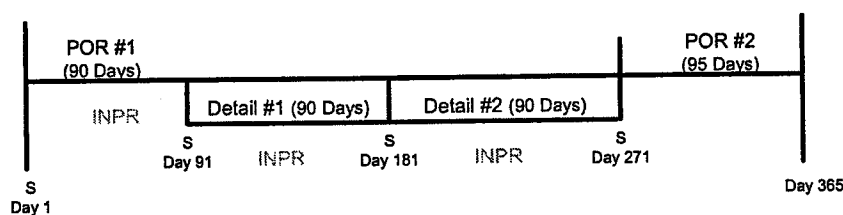
Position history:	You worked in two PORs and held two detail assignments during the evaluation period.
Interim ratings:	• You do receive three **interim narrative performance reviews** (one from your POR #1 supervisor, one from your Detail #1 supervisor, and one from your Detail #2 supervisor) because you held each of those positions for 90 to 179 consecutive calendar days. • You do not receive an interim rating from your POR #2 supervisor because he or she is responsible for your EOY evaluation and core requirements rating.
End-of-year evaluation and core requirements rating:	This is performed by your POR #2 supervisor because he or she managed your work at the end of the year **and** because you did **not** hold any other position for 276 or more consecutive calendar days during the evaluation period.

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Performance**

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Frequently Asked Questions (FAQ)

Performance Evaluation System (PES)
FY 2006 Manage Profile, Beginning of Evaluation Period
FY 2006 Objective Setting
FY 2006 Manage Profile, End-of-Position Process
FY 2006 Mid-Year Accomplishments/Review

Performance Evaluation System (PES) FAQ

1. **In what situations should I contact the IT Help Desk?**

    The IT Help Desk should only be contacted for help on system problems, such as the inability to access PES via the website or seeing an hourglass icon that won?t go away.

    *If you try to log in and receive a message that the system does not recognize your information, do **not** contact the IT Help Desk. Most likely, you are not using your correct employee identification number (EID) and/or postal PIN (see below for more information on this) ?or? you are not recognized as a PFP-eligible employee (contact your district PFP coordinator if this is the case).*

2. **Where can I find my Employee Identification Number (EID)?**

    *Your EID is printed on the top line of your bi-weekly earnings statement. The first 8-digit set of numbers **after** your name is your EID. Do **not** use the serial number.*

3. **How do I obtain my Postal PIN?**

    Call (877) 477-3273 and do the following when prompted:

    1. *Press 1 for PostalEASE*
    2. *Enter your Employee Identification Number (EID)*
    3. *When prompted to enter your PIN, pause and then press two (2)*
    4. *Your Postal PIN will be mailed to your address of record.*

    Remember, your postal PIN is a four-digit number?the same one you use to log into PostalEASE. Do not use the PIN that you use for the Thrift Savings Plan.

FY 2006 Manage Profile, Beginning of Evaluation Period FAQ

1. **When I am on an official detail, who should I select as my evaluator: the person I report to on the detail or the manager of my position of record?**

    Pick the person who will evaluate your performance on your detail. And don't forget to enter the finance number of the unit are reporting to on your detail. That is where your NPA score will be drawn from.

2. **I?m setting up my profile for the first time, and I need to enter my email address. How do I document my email address correctly so that the Performance Evaluation System will accept it?**

    1. *Open an Internet browser and type blue.usps.gov into the address line.*
    2. *Once you are at the Blue page, click Find It on the right-hand side of the screen.*
    3. *Once at the search page, click the More Search Options link next to the*

Email Address field.

4. *In the Quick Search field, enter the first part of the address you are looking for. (Example: To search for ~07102 Newark , NH , type in ~07102 and then click the Submit Query button.)*

3. **If My Profile Changes, Does That Mean I Have Two Sets of Objectives?**

   At any point in time, each employee only has one set of objectives that are active within the system. *If you change permanent positions or accept a detail assignment during the year, you will be guided through the process of closing out your previous objectives and establishing new objectives for your new position.*

   This means:

   - *You must set objectives for all positions you hold during the year, regardless of the length of time you hold each position. This ensures that you and your evaluator have come to an understanding with regard to what goals you should be working toward and how your achievements will be measured.*
   - *When you move into a new PFP position, the system will either automatically inactivate your previous objectives (for positions held for fewer than 90 days) or guide you through the process of recording accomplishments for your previous position.*
   - *If you hold a position for 90 to 179 days and then take on a new PFP position, you write accomplishments for your previous objectives, submit them to the evaluator of your previous position, and receive an interim narrative performance review. You set objectives for your new position, and your previous objectives become inactive in the system. ***
   - *If you hold a position for 180 to 275 days and then take on a new PFP position, you write accomplishments for your previous objectives, submit them to the evaluator of your previous position, and receive an interim numeric rating. You set objectives for your new position, and your previous objectives become inactive in the system. ***
   - *If you hold a position for 276 or more days and then take on a new PFP position, you write accomplishments for your previous objectives and submit them to the evaluator of your previous position. You do **not** receive an interim rating from that evaluator, though, because he is responsible for your overall end-of-year review. You then continue on with your new position and set objectives for that position, which inactivates your previous objectives.*

4. **When Should Employee-Initiated Changes Be Approved?**

   An employee must only be permitted to change his or her profile if he takes on a PFP position that is distinct from the job he previously held. The new position cannot be a continuation of the same job, just under a slightly different title or with a new supervisor. Instead, it must be an entirely separate position with different, measurable goals of its own.

   It is important to note that the end date of the employee?s previous position will be recorded as the date the employee?s evaluator approves the request to change objectives.

5. **What do I do if my detail from FY 2005 has been extended into FY 2006?**

   PES only automatically carries permanent position information over to FY 2006. If your detail has been extended into FY 2006, you must login to PES and access the Manage Profile module for FY 2006. From here, you must enter the relevant information about your detail position (your PFP designation, your Unit or Postmaster level, etc.) and submit it to your evaluator for review. Your detail assignment evaluator will need to review and approve your profile before you will be permitted to enter objectives for FY 2006.

6. **I?ve heard that there are changes that impact the Sales pay packages for FY 2006. If I?m in Sales, how does this impact me?**

   *The "Sales (HQ Field Unit)" pay package that had been used for FY 2005 **has been eliminated**. A new Sales pay package has been established for FY 2006.*

*If you are a Sales employee, **you must change your pay package** (from either HQ/HQ-Related EAS or Sales-HQ Field Unit) to one of the following during the Manage Profile process for FY 2006:*

- ■ ***Sales EAS:*** *Any EAS Sales employee (either domiciled in the field, in Rosslyn, or in the DC area) should choose this pay package.*
- ■ ***HQ/HQ-Related Executives:*** *Any Sales executive should choose this pay package. (This is the same pay package used by all HQ/HQ-related executives.)*

Sales employees who identify themselves as "Sales EAS" will be directed to choose from a list of pre-determined core requirements. Sales employees who identify themselves as "HQ/HQ-Related Executives" will be directed to draft narrative objectives.

7. I?ve heard that there are changes that impact EEO Operations employees for FY 2006. If I?m an EEO employee, how does this impact me?

*There has been a new pay package established for EEO Operations employees for FY 2006. This change, however, **only** affects the choices that **field** EEO Operations employees must make.*

- ■ *If you are an EEO Field Operations employee, **you must change your pay package** (from whichever pay package you used last year) to "EEO Field Operations" during the Manage Profile process for FY 2006.*
- ■ *If you are an HQ/HQ-related EEO employee, you will continue to use the HQ/HQ-related EAS or Executives pay packages, just as you did last year.*

EEO employees who identify themselves as "EEO Field Operations" will be directed to choose from a list of pre-determined core requirements.

FY 2006 Objective Setting FAQ

1. How do I choose my core requirements?

Individual core requirements are determined during an interactive discussion between you and your evaluator during the Objective-Setting period.

Prior to this discussion, your evaluator will have determined where your unit will focus its efforts for the next year. He/she will have also considered your line of sight within the unit, reviewed the list of core requirements for your position, and identified goals that you will have the opportunity to impact over the course of the year.

During the discussion, you and your evaluator determine which of those core requirements you will select for the year. Then, you will discuss recommended targets for each performance level (contributor, high contributor, and exceptional contributor).

All of this information is documented in the Performance Evaluation System (PES) for formal tracking.

2. I don?t agree with the core requirements that my evaluator recommended that I select. Do I have any recourse?

If you have concerns with the core requirements that were chosen, you must document your concerns and submit the information to your evaluator. Then, schedule a time to discuss your concerns.

If your concerns are not resolved during this discussion, document your concerns and have them forwarded to your next higher-level reviewer. He or she will make a final determination on the issue.

3. How do I know how many core requirements to set?

The number of core requirements an employee must set is based upon his or her pay package. To find out what number (and type) of core requirements you must set, please review the Pay Package Guidelines documents.

4. **How do I know if I need to choose from a predetermined list or generate my own narrative objectives?**

The type of core requirements an employee must set is based upon his or her pay package. To find out what type of core requirements you must set, please review the Pay Package Guidelines documents.

5. **What is the difference between Narrative Measurable, Predetermined Measurable, and Predetermined Behavioral Core Requirements?**

***Narrative Measurable** are objectives that are drafted by the employee or evaluator during the objective-setting discussion. These objectives must be both measurable and trackable through an identified data source.*

***Predetermined Measurable** are objectives that trackable and measurable through an identified data source. They are established at the beginning of the year by HQ and made available to employees/evaluators for review during the objective-setting process.*

***Predetermined Behavioral** are objectives that are developed with predetermined performance expectations and targets. Numerical targets and trackable systems are not set for behavioral core requirements. They are also established at the beginning of the year by HQ and made available to employees/evaluators for the review during the objective-setting process. However, these objectives, along with performance expectations and targets, are already populated on the user?s screen in PES rather having the user choose the objectives.*

6. **When Should Employee-Initiated Changes to Objectives Be Approved?**

An employee must only be permitted to change his or her objectives if he takes on a PFP position that is distinct from the job he previously held. It must be an entirely separate position with different, measurable goals of its own.

It is important to note that the end date of the employee?s previous position will be recorded as the date the employee?s evaluator approves the request to change objectives.

7. **As an employee, what do I need to know about selecting from lists of pre-determined core requirements?**

Most importantly, employees should not choose core requirements that do not belong to their function or position.

The reason for this is because the core requirements relate directly to the position and function-related related responsibilities that the employee must demonstrate in the course of performing the duties of the position. The core requirements were developed with pre-determined performance expectations and targets that form the basis upon which to measure an employee?s performance.

*You and your evaluator should review the list of pre-determined measurable core requirements **for your function and position** and select those that will be used to track your performance for the year. Within the Performance Evaluation System (PES), you will select these core requirements from a drop-down menu. (**Note:** With the approval of their evaluators, Field EAS employees in Function 2 are permitted to select from the core requirements listed for Function 4. Likewise, employees in Function 4 are permitted to select core requirements from Function 2.)*

FY 2006 Manage Profile, End-of-Position Process FAQ

1. **I held a position for 80 days. Do I get any interim ratings for this position?**

No. Only positions held for 90 consecutive calendar days or more are eligible for interim ratings.

Employees are required to set objectives for all PFP positions they hold, though, regardless of the length of time each position will be held. This ensures that an employee and his evaluator have come to an understanding with regard to what

goals the employee should be working toward and how his achievements will be measured.

A series of scenarios about when employees do and do not receive interim ratings is included in "Interim and End-of-Year Ratings: Guidelines for Determining Who Provides These Reviews."

2. **I?m an HQ EAS employee who is detailed to a field position for 195 days during the evaluation period. Why don?t I get an interim numeric rating for the time I spend in the field?**

   *For FY 2005, HQ employees (both EAS and PCES) are **not** eligible for interim narrative performance reviews and/or interim numeric ratings. If they hold a position for 90 to 275 days and then move into another PFP position, though, they can receive an overall comment from the evaluator of that position. This is an optional field that the evaluator can complete and that can be viewed by the employee?s new evaluator.*

3. **I was in my permanent position for the first 10 days of the year, then I went on detail for 120 days. I have now returned to my original permanent position. Why do I have a new position record in PES?**

   At any given time, employees can only have one active set of objectives in the system. When you took on your detail assignment, the objectives for your permanent position were inactivated. Those objectives cannot be reactivated. If you have returned to your original permanent position and have determined?with your evaluator?s input?that you will maintain the same objectives you started the year with, you will need to re-enter those objectives into the system as your new objectives. They will then be recorded as the active set of objectives that you are working toward.

4. **Do I get any credit for my interim narrative performance review? How about any interim numeric ratings I receive? How do they impact my overall performance rating?**

   Interim narrative performance reviews are recorded in PES. The evaluator who conducts your end-of-year review can view that information and can consider it when determining your overall performance rating.

   Interim numeric ratings are also recorded in PES. They are combined with your NPA score (if applicable) for that position. That interim numeric rating is then pro-rated (based on the length of time you the held the position) and combined with your end-of-year rating to calculate your overall performance rating.

FY 2006 Mid-Year Accomplishments/Review FAQ

1. **I just took on a new permanent position in the middle of March. Do I need to record mid-year accomplishments for this position?**

   Yes. You must enter objectives for all PFP positions you hold during the year-regardless of the length of time you will hold them. The position you are in as of March 31 - regardless of how long you have been in that position - is the position for which the system will capture your mid-year accomplishments.

2. **I'm trying to enter my mid-year accomplishments and I keep getting messages about my profile. What is going on? What do I need to do?**

   The system has received information that your PFP position might have changed, and you are being prompted to review this new information and indicate whether you have in fact taken on a new PFP position. This is all part of the system?s new ? change management? feature set.

   *Please see the quick-start guides and guidelines regarding managing your profile if you are seeing such a prompt. You will **not** be permitted to complete your mid-year actions until you have responded to these screens and taken any required actions they direct you through.*

3. **I'm an evaluator with employees located in many different areas. Do I need**

to conduct each of their mid-year reviews in person?

In-person discussions are highly encouraged, but are not a required part of the mid-year process. If time constraints or distance make in-person reviews unfeasible, evaluators are permitted to schedule one-on-one telephone discussions during which mid-year information is reviewed.

Performance Evaluation System

Enter End-of-Year Accomplishments

Quick-Start Guide for Employees

Version 2, September 2005

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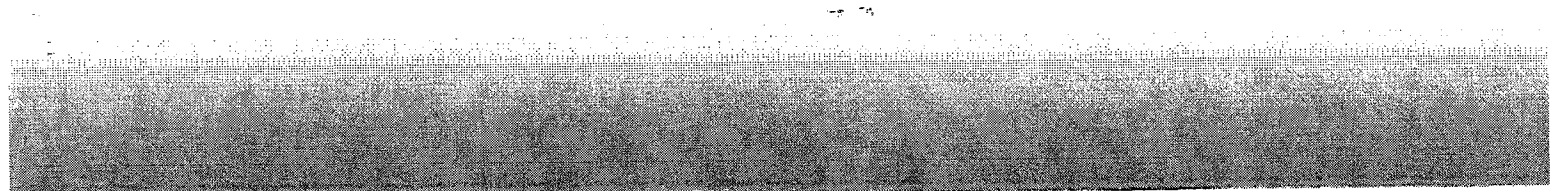
Why You Must Enter Your Accomplishments

The Performance Evaluation System (PES) automates objective-setting, accomplishments, evaluations, and ratings for participants in Pay-for-Performance (PFP).

In FY 2005, all PFP participants will record their end-of-year accomplishments in PES. Evaluators will then use the system to record their comments on those accomplishments and the dates on which they discuss end-of-year progress with employees.

Tips on Writing Your Accomplishments

It is helpful to draft and save your accomplishments in a Word document (rather than entering them directly into the system) because you only have a limited amount of time—**one hour**—to enter information into PES before the system will time out.

Your end-of-year accomplishments should detail the progress you have made toward meeting the performance targets that you and your evaluator set at the beginning of the rating period.
- For each objective, describe how far you have progressed toward meeting that target.
- Cite specific, measurable examples of your achievements.
- Use concrete data and results, and reference reports including this data when appropriate.

Before You Begin

Before you begin entering accomplishments into PES, these actions must be completed:
- You entered your objectives into PES and your evaluator approved them.
- You wrote your accomplishments in a Word document.

Before you attempt to access PES, you should have your login information on hand.
- **EAS employees:** Log in with your Employee Identification Number (EID) and Postal PIN. Your EID is the unique, 8-digit number printed on your earnings statement, and your Postal PIN is the same PIN you use for PostalEase.
- **PCES employees:** Log in with **either** your EID and Postal PIN **or** your ACE logon and password.

Note: An employee who was promoted to a PCES-level position after the start of FY 2004 must log into PES using his or her EID and Postal PIN.

Access the System

You can access PES in either of two ways:
- type **http://performance.usps.gov** into your web browser's URL line
  — or —
- click **Pay for Performance** on the USPS "Blue" intranet page, and then click the link for **PES**.

Once at the logon screen, log in with **either** your EIN and Postal PIN **or** your ACE logon and password.

Access the Enter End-of-Year Accomplishments Screen

After logging in, the fiscal year selection screen displays.

1. Click **Fiscal Year 2005**. The main screen for FY 2005 will display.

2. On the main screen for FY 2005, place your mouse over **End-of-Year Process** until the end-of-year menu appears.
3. Click **Enter and submit end-of-year accomplishments** in this menu.

Enter End-of-Year Accomplishments

After clicking **Enter and submit end-of-year accomplishments**, the objectives that you set earlier in the year are displayed.

1. Open the Word document in which you have drafted and saved your end-of-year accomplishments. Use the "Copy" function to make a copy of the accomplishment information you have drafted for your first objective.
2. In the web browser you are using for PES, use the "Paste" function to paste that information into the **End-of-Year Accomplishments** field for your first objective.
3. Repeat Steps 1 and 2 for each accomplishment that you must enter.

4. At the bottom of the screen, do one of the following:
   - If you need to return later to finish entering your accomplishments, click **Save and Finish Later**. (Also, be sure to click this button before you have been logged into the system for more than one hour. Otherwise, the system will time out and you will lose any information that has not previously been saved.)
   - If you have entered all your accomplishments and are ready for your evaluator to review them, click **Submit to Evaluator/Executive or VP**. After this point, your accomplishments will be available to you in read-only format.

Enter End-of-Year Accomplishments, cont'd.

After you have submitted your accomplishments to your evaluator, the following confirmation message will display.

5. Do one of the following:
   - If you would like to view your accomplishments in read-only format, click the link in the middle of the page.
   - If you would like to view other information for the current fiscal year, click **Home**.
   - If you would like to view another fiscal year's information, click **Change Fiscal Year**.
   - If you would like to exit the system, click **Log Out**.

Respond if Your Accomplishments Are Returned

After you submit your end-of-year accomplishments for your evaluator's review, he or she then logs into PES and reviews the information.
   - If he or she approves your accomplishments, no additional action is necessary on your part.
   - If he or she returns your accomplishments for additional work, you will receive email notification that they must be revised. You must re-enter the "Enter End-of-Year Accomplishments" screen in PES and revise your accomplishments. Your evaluator's guidance about what revisions must be made will be displayed in the **Overall Comments** field at the bottom of this screen.

For Additional Information

   - The most up-to-date version of PES help — including any updates to this quick-start guide — is available on the Pay-for-Performance (PFP) website: http://blue.usps.gov/hrisp/ser/pfp/welcome.htm

   - General information regarding the Pay-for-Performance program is also available on the PFP website.

   - Direct specific questions regarding PES and the PFP program to your district PFP coordinator. These coordinators are listed on the PFP website.

Performance Evaluation System

Review End-of-Year Accomplishments

– and –

Enter End-of-Year Discussion Date

Quick-Start Guide for Evaluators

Version 2, September 2005

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Welcome to PES

The Performance Evaluation System (PES) automates objective-setting, accomplishments, evaluations, and ratings for participants in Pay-for-Performance (PFP).

In FY 2005, all PFP participants will record their end-of-year accomplishments in PES. If you are evaluating the performance of an employee, you will use PES to review an employee's accomplishments, comment on them, and record the date on which you meet with the employee to discuss his or her accomplishments.

Before You Begin

Before you begin, these actions must be completed:
- Any employee you evaluate will enter his or her accomplishments into PES.
- He or she will submit them to you for review.

Before you attempt to access PES, have your login information on hand.
- **EAS employees:** Log in with your Employee Identification Number (EID) and USPS PIN. Your EID is the unique, 8-digit number printed on your earnings statement, and your USPS PIN is the same PIN you use for PostalEase.
- **PCES employees:** Log in with **either** your EID and USPS PIN **or** your ACE logon and password.

Note: An employee who was promoted to a PCES-level position after the start of FY 2004 must log into PES using his or her EID and USPS PIN.

Access the System

You can access PES in either of two ways:
- type **http://performance.usps.gov** into your web browser's URL line
  — or —
- click on **Pay for Performance** on the main page of **Blue**, then click on the link for **PES**.

At the logon screen, do the following:
- **EAS employees:** Log in with your EID and USPS PIN. Your EID is the unique, 8-digit number printed on your earnings statement, and your USPS PIN is the same PIN you use for PostalEase.
- **PCES employees:** Log in with **either** your EID and USPS PIN **or** your ACE logon and password to access PES.

Access the Review End-of-Year Accomplishments Screen

After logging in, the fiscal year selection screen displays.

1. Click **Fiscal Year 2005**. The main screen for FY 2005 will display.

2. On the main screen for FY 2005, place your cursor over **End-of-Year Process** until the end-of-year menu appears.
3. Click **Review End-of-Year Accomplishments and Enter Discussion Dates** in this menu.

Note: Clicking the red **View Pending Actions** link opens another browser window that summarizes all of the actions that are pending your review, such as profile changes that must be reviewed, objectives that must be reviewed, and mid-year reviews that must be conducted, etc.

4. Choose the type of employees for which you would like to perform end-of-year evaluations.
   - Click **Perform End-of-Year Executive Reviews** to review your PCES direct reports.
   - Click **Perform End-of-Year EAS Reviews** to review your EAS direct reports.

View Employee Status Main Screen

After choosing the group of employees for which you would like to conduct end-of-year evaluations, the summary screen for that group displays.

1. The screen displays:
   - A dashboard summary: The grid at the top of the page highlights how many end-of-year actions are pending your review. It also highlights how many of these actions you have completed. Clicking one of these **View Report** links will display a detailed list of employees in the selected group.
   - A list of all direct reports you must evaluate, including employees' names, each employee's end-of-year status, and fields in which you record the outcome of your discussion with each employee
2. Employees who submitted their end-of-year accomplishments will have **Perform Accomplishments Review** buttons next to their names. Click this button for an employee for whom you would like to begin the review process. (Remember: Employees will **not** have this button until they enter their accomplishments and submit them to you for review.)

View/Comment on Accomplishments – Prior to Discussion

For any employee for whom you conduct an end-of-year review, begin the end-of-year process by viewing an employee's end-of-year accomplishments.

1. Review the **End-of-Year Accomplishments** information that the employee has entered for the first objective.
2. Scroll down and view each of the accomplishments he or she has entered for each other objective.

3. If the employee <u>does not</u> need to make updates to his or her accomplishments, do one of the following at the bottom of the page:
   - If you do <u>not</u> need to record comments of your own at this time, click **Save and Finish Later.**
   - If you wish to enter preliminary comments regarding an employee's accomplishments, enter this information in the **Evaluator End-of-Year Overall Comments** field that corresponds to that accomplishment. Then click **Save and Finish Later.**

4. If the employee <u>does</u> need to make updates to his or her accomplishments, describe the revisions you would like the employee to make in the **Evaluator End-of-Year Overall Comments** field. Click **Return Accomplishments**. (The system will notify the employee to re-enter PES and update the accomplishments. After making updates, he or she will re-submit the accomplishments to you for review.)

5. When the employee has submitted accomplishments that require no additional work, schedule a time to hold an end-of-year performance evaluation discussion.

Finalize Comments on Accomplishments – After Discussion

After holding an end-of-year performance evaluation discussion with a PCES employee, you must re-enter PES and access the employee's record again.

1. If you would like to enter comments regarding an individual accomplishment, enter them in the **End-of-Year Evaluator Comments** field that corresponds to that accomplishment. (Scroll down to view each accomplishment and enter your comments for those as well.)

2. (Optional) At the bottom of the screen, supply **Evaluator End-of-Year Overall Comments** on the employee's progress toward meeting his or her objectives.

3. Do one of the following:
   - If you need to return later to finish your work, click **Save and Finish Later**.
   - If you need to ask the employee to make revisions to the information entered, click **Return Accomplishments** to have the system send the employee a notice that additional work is required. (You must provide comments in the **Evaluator End-of-Year Overall Comments** field if you are returning his or her accomplishments.)
   - If the employee does not need to complete additional work and you have entered all of your comments, click **Save Completed Online Review**.

4. Based on the action you took above, do one of the following:
   - If you clicked **Save and Finish Later**, you can return to finish updating the employee's record at a later time.
   - If you clicked **Return Accomplishments**, he or she will be prompted to re-enter PES, view your comments, and revise their accomplishments accordingly. When they have re-submitted them to you for review, repeat the steps in this section.
   - If you clicked **Save Completed Online Review**, complete the end-of-year review process by following the instructions in the "Enter End-of-Year Discussion Date" section of this document.

Enter End-of-Year Discussion Date (Or Record Reason for No Discussion)

Begin the process for entering an employee's end-of-year discussion date (or recording why a discussion was not held for an employee) from the summary screen discussed earlier.

If you **did** hold a discussion with an employee, do the following:
1. Click the calendar icon next to the employee whose discussion date you would like to record.
2. In the pop-up calendar that displays, click the date on which the discussion took place. The calendar will close and that date will automatically be populated into the **Discussion Date** field.
3. If you would like to record additional comments about the discussion, enter them in the **Discussion Comments** field.
4. Click **Save**. A pop-up message will confirm that the information has been saved.

If you **did not** hold a discussion with an employee, instead do the following:
1. Make a selection from the **Reason For No Discussion** drop-down menu (**LWOP-Not Military, LWOP-Military**, or **Other**).
2. If **Other** is selected, you must supply comments in the **Discussion Comments** field.
3. Click **Save**. A pop-up message will confirm that the information has been saved.

After completing either of these actions for an employee, a green check mark will display next to his or her name. This check mark indicates that you have completed the end-of-year accomplishments review and discussion date for this employee.

Notes:
- Prior to entering a discussion date or reason for no discussion for an employee, a **Re-enter End-of-Year Review** button will display next to each employee for whom you have entered and saved a completed online review. Clicking **Re-enter End-of-Year Review** resets the status of that employee's review. You are then able to update the comments you entered on the employee's record. You must enter the employee's record, make any updates, and then save the online review again.
- If you go so far as to enter a discussion date for an employee, but then realize that you must update comments you entered and saved earlier, you must first click the **Clear** button next to the **Discussion Date** field. This will delete the discussion date. Then, continue with the instructions under the previous bullet for continuing to open the employee's record back up for editing.

Enter Higher-Level Comments

Note: *This is an optional step in which higher-level evaluators can comment on the performance of employees.*

● *The system only permits employees to view the comments of evaluators who are one level above them.*
- *An employee will not be able to view comments provided by a higher-level evaluator.*
- *An employee's evaluator will, though, be able to view higher-level evaluator comments when he or she accesses the employee's record.*

Evaluators who are permitted to carry out this higher-level evaluator action have a separate section on their summary screens: Higher Level Actions. Employees listed in this section are employees for whom you can provide higher-level comments.

1. Click the **View Evaluation** button next to one of these employee's names. (Note: You will **not** view this button or be able to carry out this action until the employee's evaluator has entered and saved his or her review.)

1. You will be able to view any comments provided by the employee's first-level evaluator in the **End-of-Year Comments** sections of the screen.
2. At the bottom of the screen, you will be able to enter any comments you have in the **End-of-Year Higher Level Comment** field.
3. Click **Save Comment** to save the information to the employee's record.

For Additional Information

- General information regarding the Pay-for-Performance program is available on the Pay-for-Performance website:
  http://blue.usps.gov/hrisp/ser/pfp/welcome.htm

- The most up-to-date version of PES help — including any updates to this quick-start guide — is available through that site.

- Direct specific questions regarding PES and the PFP program to your local PFP coordinator. These coordinators are listed on the "Coordinators" page on the PFP website.

Performance Evaluation System

Rating Process:

Enter & Submit Recommended Core Requirements Ratings

Quick-Start Guide for Evaluators

Version 2, November 2005

UNITED STATES POSTAL SERVICE ®

Overview of the Rating Process

This guide is intended for evaluators responsible for conducting employees' end-of-year performance evaluation discussions and assigning them end-of-year ratings. (See "End-of-Position Ratings: Guidelines for Determining Who Provides These Reviews" for guidelines on who should perform an employee's end-of-year evaluation and assign him or her a rating.)

Evaluators use the Performance Evaluation System (PES) to assign core requirements ratings to employees. An employee's rating cannot be entered until:
- the employee has received any interim ratings that he or she is eligible for (EAS only)
- the employee has recorded end-of-year accomplishments
- you have conducted an end-of-year performance evaluation discussion with the employee
- you have recorded the date of that discussion in PES, and
- NPA scores have been loaded into PES.

The end-of-year rating process involves two phases:
- Phase 1: Enter and Submit Recommended Core Requirements Ratings
- Phase 2: Conduct Higher-Level Rating Reviews

This guide describes only the actions you must take to complete Phase 1. Phases 2 will be outlined in a separate guide.

Overview of Phase 1 Actions

During Phase 1, evaluators must enter and submit "recommended" core requirements ratings for each direct report for which they are responsible for providing an end-of-year rating. Ratings are termed "recommended" at this point in the process because they may undergo additional levels of review during Phase 2 of the rating process.

In specific situations, evaluators can exclude an employee from the rating process or assign no rating to an employee. These situations are outlined later in this guide.

Before You Begin

Before you attempt to access PES, have your login information on hand.
- **EAS employees:** Log in with your Employee Identification Number (EID) and USPS PIN. Your EID is the unique, 8-digit number printed on your earnings statement, and your USPS PIN is the same PIN you use for PostalEase.
- **PCES employees:** Log in with either your EID and USPS PIN or your ACE logon and password.

Note: An employee who was promoted to a PCES-level position after the start of FY 2004 must log into PES using his or her EID and USPS PIN.

Access the System

You can access PES in either of two ways:
- type **http://performance.usps.gov** into your web browser's URL line — or —
- click on **Pay for Performance** on the main page of **Blue**, then click on the link for **Performance Evaluation System**.

At the logon screen, do the following:
- **EAS employees:** Log in with your EID and USPS PIN. Your EID is the unique, 8-digit number printed on your earnings statement, and your USPS PIN is the same PIN you use for PostalEase.
- **PCES employees:** Log in with <u>either</u> your EID and USPS PIN <u>or</u> your ACE logon and password to access PES.

Access the Main Rating Screen

After logging into the system, access the main rating screen.

1. Click **Fiscal Year 2005**. The main menu for FY 2005 will display.

2. Place your cursor over **Rating Process**. A pop-up menu listing all employee groups (**HQ/HQ-Related Executives, HQ/HQ-Related EAS, Field Executives**, and/or **Field EAS**) will appear.
3. Click one of the options in this menu. The main rating screen <u>for that group of employees</u> will display.

Access the System

You can access PES in either of two ways:
- type **http://performance.usps.gov** into your web browser's URL line — or —
- click on **Pay for Performance** on the main page of **Blue**, then click on the link for **Performance Evaluation System**.

At the logon screen, do the following:
- **EAS employees:** Log in with your EID and USPS PIN. Your EID is the unique, 8-digit number printed on your earnings statement, and your USPS PIN is the same PIN you use for PostalEase.
- **PCES employees:** Log in with <u>either</u> your EID and USPS PIN <u>or</u> your ACE logon and password to access PES.

Access the Main Rating Screen

After logging into the system, access the main rating screen.

1. Click **Fiscal Year 2005**. The main menu for FY 2005 will display.

2. Place your cursor over **Rating Process**. A pop-up menu listing all employee groups (**HQ/HQ-Related Executives, HQ/HQ-Related EAS, Field Executives**, and/or **Field EAS**) will appear.
3. Click one of the options in this menu. The main rating screen <u>for that group of employees</u> will display.

Main Rating Screen – Overview

The main rating screen for the group of employees chosen on the previous screen displays.

Note: The screens shown on the following pages illustrate the rating process for **Field EAS** employees. If you are rating **HQ/HQ-Related Executives, HQ/HQ-Related EAS,** or **Field Executives,** you will notice slight differences in how information is displayed on these screens.

- Employees for which you can begin the rating process have three buttons (**Enter/Edit Rating, Exclude From Rating,** and **No Rating**) next to their names.
- Employees for which the end-of-year performance evaluation discussion process is not complete are noted with the phrase "Pending End-of-Year Discussion Date." Before you can enter ratings for these employees, you must document the date you held their end-of-year discussions. (See the Enter End-of-Year Accomplishments: Quick-Start Guide for Employees for detail on this process.)
- Employees who are eligible for an interim numeric rating and for whom that rating has not yet been provided are noted with the phrase "Pending Interim Rating." Before you can enter end-of-year ratings for these employees, their interim evaluations must be completed. (See the Interim and End-of-Year Ratings: Guidelines for Determining Who Provides These Reviews for information on the interim rating process.)

Note: If an employee for whom you are **not** responsible for assigning an end-of-year rating is listed on this screen, contact your PFP coordinator for assistance.

Enter or Edit Rating

If you clicked the **Enter/Edit Rating** button next to an employee, the following employee detail screen will display.

Note: *The screens shown on the following pages illustrate the rating process for* **Field EAS** *employees. If you are rating* **HQ/HQ-Related Executives, HQ/HQ-Related EAS,** *or* **Field Executives,** *you will notice slight differences in how information is displayed on these screens.*

1. Use radio buttons to select recommended ratings for the employee. (The rating options—either a choice of 0, 6, 11, or 14 **–or–** a choice of all numbers from 1 to 15—will vary based on the type of employee you are evaluating.)

2. Enter comments in the **Rating Comments** field.
3. Do one of the following:
   - Click **Save and Finish Later** to save the ratings and/or comments you have entered so that you can return at a later time to finalize them. (You will be directed to re-enter PES and complete the rating process in early November.)
   - Click **Return to Previous Screen** to exit the screen without taking any action.
   - Click **Calculate Rating** to view the employee's overall rating after the core requirements ratings are combined with any applicable NPA scores and interim ratings.

Enter & Submit Recommended Core Requirements Ratings Quick-Start Guide

Calculate Recommended Ratings

If you have clicked on the **Calculate Rating** button, you will see how the employee's overall performance rating will be calculated.

1. The screen displays how the employee's overall performance rating will be calculated with the recommended core requirements ratings you have entered (and considering any NPA scores and/or interim ratings that the employee has received).

2. Do one of the following:
   - If you would like to return to the previous page and update the ratings you have entered, click **Recalculate Recommended Rating**.
   - If you would like to save the information as entered, click **Save Recommended Rating**.

Exclude From Rating

If you clicked the **Exclude From Rating** button next to an employee on the main rating screen, the following page will display.

You can exclude an employee from receiving a rating when documented action is pending or has been taken for conduct clearly unacceptable to the organization. For a further explanation of when you can exclude an employee from PFP, refer to the Administrative Rules on the PFP website.

1. If you are excluding an employee from the rating process, you **must** provide comments in the **Reason Excluded from Rating** field.
2. When finished, do one of the following:
   - Click **Exclude From Rating** to save your comments and recommend that the employee be excluded from the rating process. A pop-up message will ask you to confirm this action and remind you that you must forward documentation that supports your decision on to the employee's next higher level evaluator. (He or she will be required to approve this action in Phase 2 of the rating process.)
   - Click **Save and Finish Later** to save the comments you have entered so that you can return at a later time to finalize them.
   - Click **Return to Previous Screen** to exit the screen without taking any action.

Assign No Rating

If you clicked the **No Rating** button next to an employee on the main rating screen, the following page will display.

Under certain conditions, it may not be possible for you to derive an overall performance rating for an employee's personal contributions. In these cases, no rating is assigned to an employee.

This situation applies to employees occupying an eligible position for fewer than 90 consecutive calendar days during the evaluation period and employees who are in a paid leave and/or leave without pay (LWOP) status for the entire evaluation period (except for Military LWOP). For a further explanation of when you can give an employee a "no rating," refer to the Administrative Rules on the PFP website.

1. If you are assigning no rating to an employee, you **must** provide comments in the **Rating Comments** field.
2. When finished, do one of the following:
   - Click **No Rating** to save your comments and recommend that the employee receive no rating. A pop-up message will ask you to confirm this action and remind you that you must forward documentation that supports you decision on to the employee's next higher level evaluator. (He or she will be required to approve this action in Phase 2 of the rating process.)
   - Click **Save and Finish Later** to save the comments you have entered so that you can return at a later time to finalize them.
   - Click **Return to Previous Screen** to exit the screen without taking any action.

Review Higher-Level Evaluator Selections

Before submitting the recommended core requirements ratings you have entered and calculated, you must ensure that correct higher-level evaluators are indicated for each of your direct reports.

Higher-level evaluators are responsible for reviewing any "extreme" (non-contributor, exceptional contributor, exclude from rating, no rating, etc.) ratings recommended for employees. This is done as part of Phase 2 of the rating process.

1. Review the **Higher-Level Approval Performed By** column.
2. If the higher-level evaluator displayed for an employee is incorrect, click **Change** next to that evaluator's name. A search screen will display.

3. Enter criteria in the **Last Name, First Name, Area, District**, and/or **HQ/HQ Related** fields, and click **Search**.
4. A list of employees matching the criteria entered will display. Select the individual who is responsible for performing the higher-level review for the employee.

Submit Recommended Ratings

After calculating/saving employees' recommended core requirements ratings and reviewing employees' higher-level evaluator selections, you are able to submit the recommended ratings you have entered.

Remember: If you are rating field employees, the green Submit Recommended Ratings button appears as soon as you have saved a recommended rating for any employee. If you are rating HQ employees, the button does **not** appear until you have completed **all** required actions that you must take.

1. Click the **Select** check box for each employee whose rating you would like to submit.
2. Click the **Submit Recommended Ratings** button at the top of the main rating screen.
3. A warning message displays, reminding you that after ratings are submitted, you will **not** be permitted to change them. Click **OK** in this message box to finalize the submission of the ratings you have selected.

Note: Evaluators of field employees are permitted to submit one or more ratings at a time. Use check boxes to indicate which ratings you would like to submit. Evaluators of HQ-related employees cannot submit ratings until all required actions have been taken for all of their employees.

Next Phase of the End-of-Year Rating Process

Phase 2 allows evaluators to conduct any higher-level rating reviews they must perform.

If you are required to perform higher-level reviews, refer to the Phase 2 quick-start guide on the PFP website.

For Additional Information

- The most up-to-date version of PES help — including any updates to this quick-start guide — is available on the Pay-for-Performance (PFP) website: http://blue.usps.gov/hrisp/ser/pfp/welcome.htm

- General information regarding the Pay-for-Performance program is also available on the PFP website.

- Direct specific questions regarding PES and the PFP program to your PFP coordinator. These coordinators are listed on the PFP website.

Performance Evaluation System

Phase 2 of the Rating Process:

Conduct Higher-Level Rating Reviews

Quick-Start Guide for Evaluators

Version 2, November 2005

UNITED STATES POSTAL SERVICE ®

Overview of the Rating Process

This guide is intended for evaluators responsible for conducting employees' end-of-year performance evaluation discussions and assigning them end-of-year ratings. (See "End-of-Position Ratings: Guidelines for Determining Who Provides These Reviews" for guidelines on who should perform an employee's end-of-year evaluation and assign him or her a rating.)

Evaluators use the Performance Evaluation System (PES) to assign core requirements ratings to employees. An employee's rating cannot be entered until:
- the employee has received any interim ratings that he or she is eligible for (EAS only)
- the employee has recorded end-of-year accomplishments
- the evaluator has conducted an end-of-year performance evaluation discussion with the employee
- the evaluator has recorded the date of that discussion in PES, and
- NPA scores have been loaded into PES.

The end-of-year rating process involves two phases:
- Phase 1: Enter and Submit Recommended Core Requirements Ratings
- Phase 2: Conduct Higher-Level Rating Reviews

This guide describes only the actions you must take to complete Phase 2. Phases 1 will be outlined in a separate guide.

Overview of Phase 2 Actions

During Phase 2, higher-level evaluators use PES to review, approve (if necessary), and change (if necessary) the recommended ratings that employees' evaluators assigned earlier in the rating process.

Remember: During Phase 1, you were submitting recommended core requirements ratings for your direct reports. Your direct reports were listed in the **top section** on your main rating screen.

During Phase 2, you are now performing higher-level rating reviews for employees who were rated by another evaluator. These employees are listed in the **lower section** on your main rating screen. (An employee will **not** appear in this lower section until his/her evaluator submits a recommended rating for higher-level review.)

Before You Begin

Before you attempt to access PES, have your login information on hand.
- **EAS employees:** Log in with your Employee Identification Number (EID) and USPS PIN. Your EID is the unique, 8-digit number printed on your earnings statement, and your USPS PIN is the same PIN you use for PostalEase.
- **PCES employees:** Log in with either your EID and USPS PIN or your ACE logon and password.

Note: An employee who was promoted to a PCES-level position after the start of FY 2004 must log into PES using his or her EID and USPS PIN.

Access the System

You can access PES in either of two ways:

- type **http://performance.usps.gov** into your web browser's URL line — or —
- click on **Pay for Performance** on the main page of **Blue**, then click on the link for **Performance Evaluation System**.

At the logon screen, do the following:

- **EAS employees:** Log in with your EID and USPS PIN. Your EID is the unique, 8-digit number printed on your earnings statement, and your USPS PIN is the same PIN you use for PostalEase.
- **PCES employees:** Log in with <u>either</u> your EID and USPS PIN <u>or</u> your ACE logon and password to access PES.

Access the Main Rating Screen

After logging into the system, access the main rating screen.

1. Click **Fiscal Year 2005**. The main menu for FY 2005 will display.

2. Place your cursor over **Rating Process**. A pop-up menu listing all employee groups (**HQ/HQ-Related Executives, HQ/HQ-Related EAS, Field Executives,** and/or **Field EAS**) will appear.
3. Click one of the options in this menu. The main rating screen <u>for that group of employees</u> will display.

Main Rating Screen – Overview

The main rating screen for the group of employees chosen on the previous screen displays.

● **Note:** *The screen you view in PES will differ based on whether you are rating a field employee or an HQ employee. This section illustrates how the screen will display **depending on what type of employee you are rating**.*

Screen for evaluators of field employees

UNITED STATES POSTAL SERVICE — Performance Evaluation System

::: PLEASE NOTE – You Are Currently in Fiscal Year 2005 Objectives :::

JOAN SMITH
Plant Manager
Lisbon PSDC
Home | Log Out | Change Fiscal Year |

JOHN MONTGOMERY
Area Operations

End of Year Ratings for Field EAS - Fiscal Year 2005

Status of EAS in your Organization – as of 11/09/2005 07:26 A.M. CST (Note: This summary is updated nightly)

Profile Incomplete 3 – View Report	EOY Evaluation Not Complete 96 – View Report	EOY Rating Not Complete 96 – View Report	EOY Rating Complete 0 – View Report	Total Field EAS 96 – View Report

Submit Recommended Ratings

Before submitting your recommended ratings, verify who will perform the next higher-level approval of the employee's rating. Click "Change" if the next higher-level approver shown for the employee is incorrect.

To submit an employee's rating, check the "Select" box for the employee and then press the "Submit Recommended Ratings."

NOTE: The Overall Performance Rating does include any interim rating calculations. EOY NPA Score and EOY Core Requirement Rating do not include interim rating calculations.

1 • Provide Ratings and Comments
Rate your EAS Direct Reports.

View Reason Code Explanations:

EAS Direct Reports

Name	EOY NPA Score	EOY Core Req Rating	Overall Perf Rating	Reason	Actions	Higher Level Approval Performed By	Select
ADAM ADAMS	5.01	N/A	N/A		Enter/Edit Rating Exclude From Rating No Rating	BOBBY JOHNSON Change	[ ]
JACKSON ARRINGTON JR	9.9	N/A	N/A		Enter/Edit Rating Exclude From Rating No Rating	BOBBY JOHNSON Change	[ ]
SAMUEL AUSTIN	6.18	N/A	N/A		Enter/Edit Rating Exclude From Rating No Rating	BOBBY JOHNSON Change	[ ]

2 • Perform Required Actions
Below is a list of EAS employees for which you must approve or change the recommended rating.

View Reason Code Explanations:

EAS - Decimal Ratings

Name	EOY NPA Score	EOY Core Req Rating	Overall Perf Rating	Reason	Actions	Higher Level Approval Performed By	Select
STEVEN ALEXANDER	8.04	14	10	+/- 5	Approve or Change Rating Exclude From Rating No Rating	BOBBY JOHNSON Change	[ ]
BUBBY BRISTER	8.44	12.4	8	+/- 5	Approve or Change Rating Exclude From Rating No Rating	BOBBY JOHNSON Change	[ ]
ALAN CHACHERE	6.42	14	7	+/- 6	Approve or Change Rating Exclude From Rating No Rating	BOBBY JOHNSON Change	[ ]

During Phase 2, you are concerned with the lower section on this screen. This lower section will list any employees for which you must review and/or approve recommended ratings.

● **Special note for evaluators of field executives:** Evaluators of field executives will see a **View Organizational Structure** button on this screen. Clicking the button changes the screen to display not just those employees for whom you are **required to** take action, but also those employees for whom you are **permitted to** review and change ratings on an as-needed basis.

Screen for evaluators of HQ employees

If you are reviewing ratings for HQ/HQ-Related EAS or HQ/HQ-Related Executives, you will notice two major differences on this screen:

1. The screen will include functional score information.
   - The **Functional Score** is the target of your functional vice president's unit. It cannot be changed.
   - The **Running Functional Average** is the average of all core requirements ratings you have assigned to your direct reports. As you enter and edit recommended core requirements ratings for these employees, this number is updated.
2. The screen will also include a **View Organizational Structure** button. Clicking the button refreshes the screen and displays the information as shown on the next page.

Screen for evaluators of HQ employees, cont'd.

This is the screen that displays after clicking the **View Organizational Structure** button.

In this view, you are able to see not only the employees you are required to take action on, but also:

1. employees for whom you are **permitted** to view/change ratings as needed, and
2. employees under which there are additional employees that you are **required** to take actions on.

If you click on one of the employees that it is indicated that you have **required** actions pending under (these are indicated with an "Action required in this group" message), the screen will refresh again and display information as shown on the next page.

Screen for evaluators of HQ employees, cont'd.

This is the screen that displays after clicking on one of the employees for which it is indicated that you have **required** actions pending under. The screen expands to show that individual's direct reports.

1. If one of these employees has an **Approve or Change Rating** button next to his/her name, you **must** take action on that employee.
2. If one of these employees instead has a **Change Rating** button next to his/her name, you are **permitted** to take action on him/her.

The following sections of this document illustrate an example of a **required** rating review and an **optional** rating review.

Review and Approve an "Extreme" Rating (Required)

The screen below illustrates the rating summary that would display for an employee who has received an "extreme" rating of "exceptional." (This is the screen that displays if you click one of the **Approve or Change Rating** button on your main rating screen.) **You must either approve or change each "extreme" rating that is pending your review.**

1. Review the information displayed on the screen. In particular, review the comments provided by the employee's evaluator.
2. Determine whether the rating should be approved as it has been submitted or whether it must be changed.
3. If the rating should be approved as submitted, click **Approve Rating**. This completes the review for this employee.
4. If the rating should be changed, click **Change Rating**. The screen will refresh and display as follows.

5. Below the rating provided by the employee's first level evaluator, use a button to indicate the new rating that you would like to assign to the employee.
6. You must then provide comments in the **Additional Comments** field. (Your comments will override the information that the employee's other evaluator had already provided.)
7. Click **Calculate Rating** to view how the employee's overall performance rating would be calculated based on this new core requirements rating. (On that calculation screen, you will click either **Save Rating** to save the information and complete action on this employee, or click **Recalculate Rating** to return to this screen and choose a new rating.)

Note: If you change an employee's rating for any reason, PES will send an e-mail to that employee's first-level evaluator that notifies him/her that a change has taken place.

Review and Change Other Ratings (Only As Needed)

A higher-level evaluator may need to change a rating (or ratings) at this point in the process. Begin this process by clicking **Change Rating** next to an employee's name on the main rating screen.

1. The recommended ratings that the employees' evaluator assigned are displayed above your options. Review the information that has been provided.
2. If you would like to change any of the recommended ratings, use radio buttons to select different numeric ratings.
3. If you change any of the ratings on this page, you **must** describe your reasons for doing so in the **Rating Comments** field. (Your comments will override the information that the employee's other evaluator had already provided.)
4. Do one of the following:
   - If you have made a change and want to move forward with saving it, click **Calculate Rating**. (On that calculation screen, you will click either **Save Rating** to save the information and complete action on this employee, or click **Recalculate Rating** to return to this screen and choose a new rating.)
   - If you would like to exit the screen without making or saving any changes, click **Return to Previous Screen**.

Note: If you change an employee's rating for any reason, PES will send an e-mail to that employee's first-level evaluator that notifies him/her that a change has taken place.

For Additional Information

- The most up-to-date version of PES help — including any updates to this quick-start guide — is available on the Pay-for-Performance (PFP) website: http://blue.usps.gov/hrisp/ser/pfp/welcome.htm

- General information regarding the Pay-for-Performance program is also available on the PFP website.

- Direct specific questions regarding PES and the PFP program to your PFP coordinator.

Ratings:
How Do Evaluators Review Ratings?

FY 2005 ratings have been finalized and you are now permitted to discuss these ratings with your direct reports. Begin by accessing the FY 2005 end-of-year rating screens within the Performance Evaluation System (PES).

1. Log in to PES.
2. To access the FY 2005 rating screens, click the link for **FY 2005**.
3. Mouse over **Rating Process**. A menu listing print options for all employee groups will appear.
4. Click one of the **Print End-of-Year Report for ...** options in this menu.
5. From the screen that displays, do one of the following:
   - To view an individual employee's finalized rating, click the **View Rating** button next to his/her name.
   - To print a report of all your direct reports' finalized ratings, click the **Print EOY Reports for All Direct Reports** button at the bottom of the screen.

Next, schedule a one-on-one meeting with each of your direct reports. These should be two-way conversations during which you review how actual performance is tied to finalized overall performance ratings.

If an employee has questions regarding how his/her rating was calculated, review the employee's Detailed Calculation Screen. (Access that screen in PES by clicking the **View Rating Calculation** button at the bottom of the employee's individual page.) The remainder of this document provides guidance on how to interpret and review an employee's Detailed Calculation Screen.

How To Review an Employee's Detailed Calculation Screen

The Detailed Calculation Screen illustrates how the employee's overall performance rating was calculated.

1. The top left of the screen shows the **end-of-year rating** calculation.
2. The top right of the screen shows the **interim rating** calculation (for eligible employees only).
3. The bottom left of the screen shows the **overall performance rating**.

How To Review an Employee's Detailed Calculation Screen, cont'd.

An employee's end-of-year rating and interim rating are made up of:
- Core Requirements Rating Summary
- NPA Composite Summary (only for Area EAS, Area Sales/Sales-HQ Field Unit, EAS Postmasters, Field EAS, and Field Executives).

For example, a Field EAS employee's Core Requirements Rating Summary makes up 30% of his overall performance rating. His NPA Composite Summary makes up the remaining 70% of his overall performance rating.

Core requirements rating summary is 30% of overall performance rating

30%

| ☐ CRs |
| ☐ NPA |

70%

NPA Composite Summary is 70% of overall performance rating
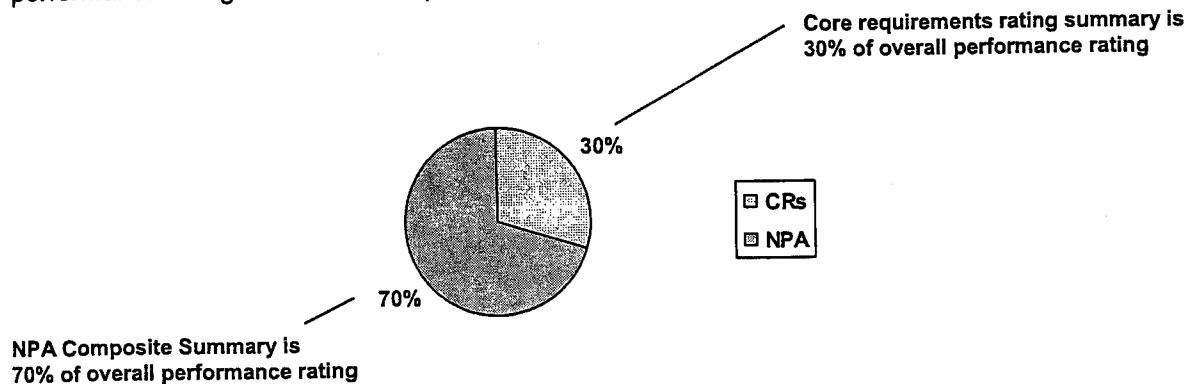
Field EAS employees—along with Area EAS, Area Sales/Sales-HQ Field Unit, and EAS Postmasters—receive individual ratings for each of their core requirements. Together, those individual ratings make up the employee's Core Requirements Rating Summary. In the case of a Field EAS employee, three of his core requirements are weighted at 8%, and one is weighted at 6%.

Individual core requirements ratings total 30% of overall performance rating

30%

8%
8%
8%
6%

| ☐ CR #1 |
| ☐ CR #2 |
| ☐ CR #3 |
| ☐ CR #4 |
| ☐ NPA |

70%

NPA Composite Summary totals 70% of overall performance rating
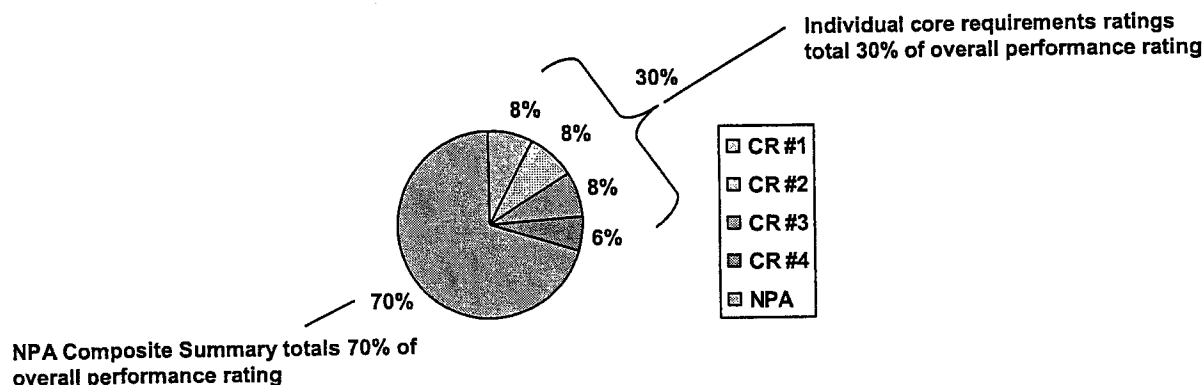
For Area Sales/Sales-HQ Field Unit, Area EAS, Field EAS, and EAS Postmasters, the Detailed Calculation Screen shows this individual core requirements breakout at the beginning of the end-of-year rating calculation (and the beginning of the interim rating calculation, if applicable).

Important note about how PES handles the rounding of numbers: For display purposes, the numbers shown on the Detailed Calculation Screen are rounded to a maximum of 2 decimal places. PES, though, will use a number's additional decimal places in order to calculate and determine an employee's overall performance rating.

For example, an employee's NPA Composite Rating Summary may be 5.9, and his/her Core Requirements Rating Summary may be 3.593, which will be displayed 3.59. When added together, these numbers will total 9.493, which will display as 9.49 on the screen. Remember, though, that the employee's overall performance rating is based on the actual number—the 9.493—which rounds to a whole number of 9 for the employee's overall performance rating.

Calculations for Employees _Without_ an Interim Rating

Note: The following screen is for illustration purposes only. The appearance of the screen (including the number of core requirements, the weight assigned to each rating, etc.) will vary based on the pay package of the employee whose information you are viewing.

1. **The top left section of the screen shows the end-of-year rating calculation.**
   - The system multiplies each core requirement rating by the weight it is assigned. Those numbers are added together and multiplied by the weight assigned to the employee's core requirements. This is the employee's Core Requirements Rating Summary.
   - (For Area EAS, Area Sales/Sales-HQ Field Unit, EAS Postmasters, Field EAS, and Field Executives) The system calculates the NPA Composite Summary by multiplying the employees' NPA score by the weight it is assigned.
   - The system adds the NPA Composite Summary to the Core Requirements Rating Summary. This is the Overall Numeric Rating for the individual's performance.
2. **The bottom of the screen shows the overall performance rating.**
   - The Overall Performance Rating is displayed at the bottom of this section. (This is the employee's Overall Numeric Rating rounded to a single digit.)

Calculations for Employees *With* an Interim Rating

Note: The following screen is for illustration purposes only. The appearance of the screen (including the number of core requirements, the weight assigned to each rating, etc.) will vary based on the pay package of the employee whose information you are viewing.

1. **The top left section of the screen shows the end-of-year rating calculation.**
   - The system multiplies each core requirement rating by the weight it is assigned. Those numbers are added together and multiplied by the weight assigned to the employee's core requirements. This is the employee's Core Requirements Rating Summary.
   - (For Area EAS, Area Sales/Sales-HQ Field Unit, EAS Postmasters, and Field EAS) The system calculates the NPA Composite Summary by multiplying the NPA score by the weight it is assigned.
   - The system adds the NPA Composite Summary to the Core Requirements Rating Summary. This is the Overall Numeric Rating for the individual's performance.
2. **The top right section of the screen shows the interim rating calculation.**
   - The system multiplies each core requirement rating by the weight it is assigned. Those numbers are added together and multiplied by the weight assigned to the employee's core requirements. This is the employee's Core Requirements Rating Summary.
   - (For Area EAS, Area Sales/Sales-HQ Field Unit, EAS Postmasters, and Field EAS) The system calculates the NPA Composite Summary by multiplying the NPA score by the weight it is assigned.
   - The system adds the NPA Composite Summary to the Core Requirements Rating Summary. This is the Overall Numeric Rating for the individual's performance.
3. **The bottom of the screen shows the pro-rated overall performance rating.**
   - The system multiplies the Overall Numeric Rating for the end-of-year position by the percent of the year the employee held the position. It does the same for the interim position.
   - The system adds these numbers to get the employee's Numeric Rating.
   - The Overall Performance Rating is displayed at the bottom of this section. (This is the employee's Numeric Rating rounded to a single digit.)

Ratings:
How Do Employees Review Ratings?

FY 2005 ratings have been finalized and you are now permitted to view these ratings via the Performance Evaluation System (PES).

Begin this process by accessing the system:

1. Log in to PES.
2. Click the link for **FY 2005**.
3. Mouse over **Reports**. A menu listing report options will appear.
4. Click the **Print Your End-of-Year Rating** option in this menu.
5. A new window will open, displaying your objectives, accomplishments, and overall performance rating.
6. At the bottom of the window will be a detailed summary of how your overall performance rating was calculated.

This screen illustrates how your overall performance rating was calculated.

1. The top portion of the screen displays the employee's **objectives, accomplishments**, and evaluators **comments**.

2. The bottom left is divided into two sections. The top section of the screen shows the **end-of-year rating** calculation.

3. The bottom left of the screen shows the **overall performance rating**.

Employees: How to Review Your Finalized FY 2005 Ratings, cont'd.

Note: The following screen is for illustration purposes only. The appearance of this screen (including the number of core requirements, the weight assigned to each rating, etc.) will vary based on your pay package.

1
2

End-of-Year Rating

End-of-year rating for the following position:

This rating accounts for 100% of the Overall Performance Rating.

	Rating		Weight	Equals
Core requirement #1	11	X	0.27	2.97
Core requirement #2	11	X	0.27	2.97
Core requirement #3	11	X	0.27	2.97
Core requirement #4	11	X	0.20	2.20
NPA Composite Summary	7.71	X	.7	5.4
Core Requirement Rating Summary	11.00	X	.3	3.3
Overall Numeric Rating				8.7

Overall Performance rating will be rounded to 9

Interim Rating

Employee not eligible for interim rating.

1. **The top left section of the screen shows the end-of-year rating calculation.**
   - The system multiplies each core requirement rating by the weight it is assigned. Those numbers are added together and multiplied by the weight assigned to your core requirements. This is your Core Requirements Rating Summary.
   - (For Area EAS, Area Sales/Sales-HQ Field Unit, EAS Postmasters, Field EAS, and Field Executives) The system calculates the NPA Composite Summary by multiplying your NPA score by the weight it is assigned.
   - The system adds the NPA Composite Summary to the Core Requirements Rating Summary. This is the overall numeric rating for your performance.

2. **The bottom of the screen shows the overall performance rating.**
   - The overall performance rating is displayed at the bottom of this section. (This is your overall numeric rating rounded to a single digit.)

Important note about how PES handles the rounding of numbers: For display purposes, the numbers shown on the Detailed Calculation Screen are rounded to a maximum of 2 decimal places. PES, though, will use a number's additional decimal places in order to calculate and determine an employee's overall performance rating.

For example, an employee's NPA Composite Rating Summary may be 5.9, and his/her Core Requirements Rating Summary may be 3.593, which will be displayed 3.59. When added together, these numbers will total 9.493, which will display as 9.49 on the screen. Remember, though, that the employee's overall performance rating is based on the actual number—the 9.493—which rounds to a whole number of 9 for the employee's overall performance rating.

The overall performance rating displayed at the bottom of your rating screen translates to one of the four adjective pay-for-performance ratings:

- **Overall performance rating of 0 through 3 = Non-Contributor**
  Definition: Performance relative to the basic expectations of the position requirements was unsatisfactory, including poor quality results and failure to meet commitments. Individual lacks vision or sense of core purpose of the organization.

- **Overall performance rating of 4 through 9 = Contributor**
  Definition: Overall contribution to the business, both functionally and organizationally, met the expectations of the position requirements. Individual possesses basic sense of core purpose of the organization, sets goals, and acts accordingly.

- **Overall performance rating of 10 through 12 = High Contributor**
  Definition: Overall contribution to the business—both functionally and organizationally—met and sometimes exceeded the expectations of the position requirements. Individual possesses overall sense of the purpose of the organization and evaluates external factors when appropriate to set goals and determine action plans.

- **Overall performance rating of 13 through 15 = Exceptional Contributor**
  Definition: Overall contribution to the business—both functionally and organizationally—exceeded expectations of the position requirements. Individual possesses keen sense of the purpose of the organization and develops creative and effective approaches to grow the business and increase customer satisfaction.

At the beginning of the FY 2005 evaluation period, you defined contributor-level targets for your performance. If you achieved that defined level of performance (meaning that you received an overall performance rating of 4 through 9), you will receive a compensation increase ranging from 2.5% to 6.5%. If you attained higher levels of performance, you are eligible for an even larger increase.